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Final Report

Mid-Term Review of UNDP GEF-LDCF2 Project Afghanistan

Project period reviewed: 27th April 2014 - 30th June 2017

Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks

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Cover Photo: GEF-UNDP CCAP and World Food Programme supported 16,000 terraced plantations on the hill slopes of Khulm District, Balkh Province, which are watered using a solar water pump, three water reservoirs, and a drip irrigation system (GPS: 36.677527 N, 67.688848 E).

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4.3.3.1	Budget, expenditure, delivery and trends.....	31
4.3.3.2	Budget revision and reallocation	33
4.3.3.3	Financial controls	34
4.3.3.4	Co-financing	35
4.3.4	Project-level monitoring and evaluation systems	36
4.3.4.1	Inception workshop	36
4.3.4.2	Site or field visits	37
4.3.4.3	Quarterly and Annual Progress Reports.....	37
4.3.4.4	Project implementation reviews.....	38
4.3.4.5	Project Issues and Risk Logs	38
4.3.4.6	Technical Assistance on Reporting and Communication	38
4.3.5	Stakeholder engagement	39
4.3.5.1	Partnerships and country drivenness.....	39
4.3.5.2	Stakeholder engagement and progress towards project objective	40
4.3.6	Reporting.....	41
4.3.7	Communications.....	41
4.4	SUSTAINABILITY.....	43
4.4.1	Project risks and ratings	43
4.4.2	Financial risks to sustainability	44
4.4.3	Socio-economic risks to sustainability.....	45
4.4.4	Institutional framework and governance risks to sustainability	46
4.4.5	Environmental risks to sustainability.....	46
5.	CONCLUSIONS AND RECOMMENDATIONS.....	48
5.1	CONCLUSIONS.....	48
5.1.1	Strategy	48
5.1.2	Progress towards results	48
5.1.3	Project Implementation and Adaptive Management.....	49
5.1.4	Cost-Effectiveness, Finance, and Co-Finance	49
5.1.5	Project level monitoring and evaluation systems, reporting, and communication	50
5.1.6	Sustainability	50
5.2	RECOMMENDATIONS	51
6.	ANNEXES	56
ANNEX I.	PROJECT INFORMATION TABLE.....	57
ANNEX II.	MTR TERMS OF REFERENCE (EXCLUDING TOR ANNEXES)	58
ANNEX III.	MATRIX OF ASSESSMENT OF PROGRESS TOWARDS RESULTS.....	65
ANNEX IV.	RATINGS SCALES.....	74
ANNEX V.	MTR EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)	76
ANNEX VI.	LIST OF DOCUMENTS REVIEWED	85
ANNEX VII.	EXAMPLE QUESTIONNAIRE OR INTERVIEW GUIDE USED FOR DATA COLLECTION	88
ANNEX VIII.	MTR MISSION ITINERARY	100
ANNEX IX.	LIST OF PERSONS AND GROUPS INTERVIEWED	101
ANNEX X.	REVISED RESULTS FRAMEWORK (LOGFRAME).....	105
ANNEX XI.	CCAP PROGRESS BY PROVINCE.....	109
ANNEX XII.	SIGNED UNITED NATIONS EVALUATION GROUP (UNEG) CODE OF CONDUCT FORM.....	111
ANNEX XIII.	MTR FINAL REPORT CLEARANCE FORM.....	112

List of Tables

TABLE 1: CCAP BUDGET, EXPENDITURE, AND DELIVERY RATE.....	32
TABLE 2: CCAP BUDGET, EXPENDITURE, AND DELIVERY RATE BY PROVINCE	33
TABLE 3: CO-FINANCING TABLE AT THE STAGE OF THE MID-TERM REVIEW	36

List of Figures

FIGURE 1: MAP OF THE CCAP PROVINCES	5
FIGURE 2: PROJECT MANAGEMENT STRUCTURE	6
FIGURE 3: SUB-PROJECTS INITIATED AND COMPLETED BY COMPONENT AND PROVINCE	22
FIGURE 4: EXPENDITURE TREND AGAINST BUDGET	32

LIST OF ACRONYMS AND ABBREVIATIONS

ACCI	Afghanistan Chamber of Commerce and Industries
ADB	Asian Development Bank
AFP	Agence France Presse
ANDMA	Afghanistan National Disaster Management Authority
ANDS	Afghanistan National Development Strategy
APR	Annual Progress Review
AusAID	Australian Agency for International Development
AWP	Annual Work Plan
CCA	Climate Change Adaptation
CCAP	Climate Change Adaptation Project
CDC	Community Development Council
CDP	Community Development Plan
CEO	Chief Executive Officer
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CPAP	Country Programme Action Plan
CSO	Civil Society Organizations
DACAAR	Danish Committee for Aid to Afghan Refugees
DAIL	Department of Agriculture, Irrigation, and Livestock
DDA	District Development Assembly
DoEW	Department of Energy and Water
DoWA	Department of Women Affairs
DPM	Deputy Project Manager
DRRD	Department of Rural Rehabilitation and Development
FAO	Food and Agriculture Organization
FGD	Focus Group Discussion
GDP	Gross Domestic Product
GEF	Global Environment Facility
GoIRA	Government of Islamic Republic of Afghanistan
HACT	Harmonized Approach to Cash Transfer
HDR	Human Development Report UNDP
ICIMOD	International Center for Integrated Mountain Development
LDCF	Least Developed Countries Fund
M&E	Monitoring and Evaluation
MAIL	Ministry of Agriculture, Irrigation and Livestock

MEA	Multilateral Environmental Agreements
MoEW	Ministry of Energy and Water
MRRD	Ministry of Rural Rehabilitation and Development
MTR	Mid-Term Review
NAPA	National Adaptation Programme of Action
NAPWA	National Action Plan for the Women of Afghanistan
NCSA	National Capacity Needs Self-Assessment for Global Environmental Management
NEPA	National Environmental Protection Agency
NGO	Non-Governmental Organization
NIM	National Implementation Modality
PDP	Provincial Development Plan
PIF	Project Identification Form
PIMS	UNDP-GEF Project Information Management System
PIR	Project Implementation Review
PM	Project Manager
PMU	Project Management Unit
POPP	Programme & Operations Policies and Procedures
Prodoc	Project Document
RBM	Results-Based Management
RTA	Regional Technical Advisor
SCCF	Special Climate Change Fund
SHG	Self-Help Group
SMART	Specific, Measurable, Attainable, Relevant, and Time-bound
SME	Small and Medium Enterprises
SNAP	Afghanistan Strategic National Action Plan for Disaster Risk Reduction
ToR	Terms of Reference
TT	GEF Tracking Tool
UN	United Nations
UNCBD	Rio Conventions —on Biodiversity, Climate Change, and Desertification
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCC	United Nations Framework Convention on Climate Change
UNHCR	United Nations High Commissioner for Refugees
UNOCHA	United Nations Office for Coordination of Humanitarian Assistance
USAID	United States Agency for International Development
USD	United States Dollar

WFP

World Food Programme

WUA

Water Users Association

1. EXECUTIVE SUMMARY

Climate Change Adaptation Project (CCAP) is financed by the Least Developed Countries Fund (LDCF), operated by the Global Environment Facility (GEF), and the United Nations Development Programme (UNDP). Objective of the project is *“To strengthen the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks.”* Three expected outcomes of the project are as follows: a) Climate change risk and variability integrated into local planning and budgeting processes; b) Rural income and livelihood opportunities for vulnerable communities enhanced and diversified; c) Productive irrigation infrastructure rehabilitated and improved. Key information about the project is given in Annex I. UNDP Afghanistan commissioned the Mid-Term Review (MTR) of this project (see Annex II for Terms of Reference of the MTR) to identify challenges and outline corrective actions to ensure that the project is on track to maximum results by its completion date.

The MTR started with a review of several project related documents. The MTR mission conducted in-depth interviews in Kabul with members of the Project Board, UNDP staff, project staff, responsible ministries, UN agencies, academia and civil society organizations. Field work was conducted in Balkh, Herat, and Panjshir provinces; Uruzgan Province could not be reached due to security constraints. Similar to national level, stakeholders were interviewed in the provinces. Site visits were undertaken in villages and Focus Group Discussions (FGDs) were held with men and women.

Review of the project design showed that, strategically, the project directly responds to the national priorities identified in the National Adaptation Programme of Action (NAPA) and other related policies and strategic plans. Wide ranging and grassroots level consultations were held by UNDP during the formulation of the project. The project document tends to follow concepts of both the scientific Ecological Resilience¹ approach and the Human Resilience² approach. A number of relevant gender issues were raised in the project document and appropriate measures were suggested to promote gender equality. Consultations during MTR fieldwork mission confirmed that all the relevant stakeholders were highly concerned about increasing climate changes in the country. There was a clear sense of urgency and high ownership among the stakeholders of the CCAP interventions. MAIL is leading the project with high expectations and considers it as their flagship project. All the stakeholders posed confidence in the leadership of MAIL and in the support provided by UNDP.

The original logframe was kept flexible in terms of revising the outputs later but the results chain did not clearly link outputs with outcomes and outcomes with the objective; many indicators did not align with SMART criteria. Logframe has been used regularly to monitor results by the project management. Suggested revision in the logframe undertaken by CCAP and UNDP is justified. Without baseline and endline surveys, it was difficult to add meaningful quantitative indicators at the objective and outcome level. As an alternative, qualitative and expert-opinion based outcome indicators were added, which can be qualitative rated by the MTR mission and End-of-the-Project evaluation mission.

CCAP project has **shown satisfactory progress³** during its first-half of implementation period in terms of delivery of the planned outputs, spending of budget, and ensuring reasonable quality of the outputs. Performance of the project was slow in the beginning but by the time of the MTR, it had built impressive momentum. Assessment of immediate and intermediate outcomes of the project

¹ https://www.ipcc.ch/pdf/special-reports/srex/SREX_Full_Report.pdf, page 34

² UNDP, 2014. Human Development Report - Sustaining Human Progress: Reducing Vulnerabilities and Building Resilience. Page 16.

³ See Annex IV. Rating Scales’s first table “Progress towards Results Rating Table” for the definition.

shows promising achievements. Under Component 1 – CCA Integration, CCAP has provided good quality Climate Change Adaptation (CCA) training to government officials, NGOs, and communities and successfully completed preparation of climate change scenarios for the entire country. However, quality of the CCA integration in community development plans and provincial development plans could be improved further. Under Component 2 – Livelihoods, alternative livelihoods training targets have been exceeded, most of the livelihood sub-projects have been completed, and rangeland rehabilitation targets have been exceeded. Women were organized into Self-Help Groups (SHGs) and prioritized for trainings. Livelihood sub-projects were generating reasonable income for communities. Successful rehabilitation of degraded rangelands may require constant and prolonged effort on part of the project and communities. Under Component 3 – Irrigation Infrastructure, progress has been slow but achievement of output targets looks on track, as many sub-projects are at various stages of completion. Quality of the productive irrigation infrastructure is excellent. Annual income of farmers may have increased by 10% or more. Irrigation works and protection walls are likely to reduce floods related losses in the future.

UNDP has worked very closely with the implementing partner and stakeholders by providing guidance, technical support, and backstopping while ensuring transparency and good quality of work. UNDP-GEF Regional Technical Advisor (RTA) office has been flexible and supportive in helping UNDP and the project with effective implementation. CCAP work plans have been prepared in accordance with standard UNDP template. However, work plans need to add cumulative progress for outputs and spending, provincial output targets and budgets, and some review of outcomes to enhance results orientation of the plans. Project audit report 2015 had raised some issues about internal controls in CCAP. In late 2015 UNDP introduced the Harmonized Approach to Cash Transfer (HACT) framework within MAIL after which internal control issues reduced significantly, as evidenced by 2016 audit report. Overall financial management of the project was satisfactory. However, project staff complained about delays of 3-4 weeks in the release of payments and reimbursement by UNDP. Some delay is attributable to UNDP due to its due diligence process under HACT but project also needs to improve documentation. CCAP outputs appear to be cost-effective given good quality of the outputs. A large part of expected co-financing could not be mobilized, as USAID canceled its commitment for climate change adaptation. While progress reporting has been satisfactory, the project has not adequately prioritized monitoring and evaluation activities, documentation, and communication of project achievements. The project has a reasonable presence of women on the Project Board and within the project management. The project gave priority to women in awareness creation and CCA trainings, gave them voice by organizing them into groups, and delivered livelihood assets to women groups.

UNDP selected MAIL as implementing partner, who have a permanent presence in Afghanistan. To enhance sustainability of results, capacity development of government partners through CCA training has been an essential part of this engagement. CCAP delivers through the existing institutional setup at the provincial and community level, which will add to sustainability of project results. CCA related capacity development, to which CCAP has made reasonable contribution (Annex III), is expected to continue, as GEF has approved funding for two more CCA projects besides the exiting two projects for Afghanistan. Infrastructure and livelihood interventions that contribute directly to personal or household income, such as rehabilitation of irrigation canals and food processing enterprises are likely to be sustained by beneficiaries from their own investments. Many communities were willing to operate and maintain irrigation works, greenhouses, cold stores, and food processing enterprises, etc. on their own to sustain benefits. However, government is not likely to spare funds for maintenance of major irrigation works. The project has not posed any environmental risk so far.

Following key recommendations are made to maximize results of the project:

- Project should give a final review to logframe to add process indicators and make other changes based on recommendations in the MTR.
- CDPs should include a broader package of CCA activities (awareness creation among women and men, identification of hazards, awareness creation, safe sites for houses and all infrastructure, agriculture/livestock/forestry/horticulture/rangeland related adaptive measures, contingency responsibilities, mitigation structures, water storage and conservation measures, irrigation improvements, linkages with support organizations, saving fund, women-specific adaptation measures, etc.
- Integration of CCA in Provincial Development Plans needs to go beyond a simple list of MAIL activities in the province over the plan year. CCAP needs to work with the Ministry/Department of Economy (coordinator of provincial development plans) to prepare guidelines on mitigation, adaptation, and resilience measures that provincial departments should strive to incorporate in plans while planning, budgeting, designing, monitoring, and operating and maintaining investments in all sectors.
- As women are the major beneficiaries of livelihood activities and they face several cultural and mobility constraints, CCAP needs to develop standardized guidelines on optimal conditions for operation of greenhouses, solar dryers, raisin rooms, cold stores, food processing enterprise, honey bee enterprise, use of improved seeds and saffron bulbs, pest management, repairs, cropping patterns, etc.
- CCAP should give high priority to completion of water and irrigation works, perhaps the most beneficial interventions at community level, to increase the low delivery rate so far in this component.
- Document and share significant immediate outcomes and lessons of irrigation schemes, green houses, and food processing interventions, impact on earning capacity of women, etc. through case studies, technical studies, articles, notes, and multimedia as examples of successful climate change adaptation.
- Project Board meetings should include findings of process and outcome monitoring visits (a requirement of GEF Monitoring and Evaluation Framework⁴, cumulative progress, component and province wise budget utilization and targets.
- To promote exposure, learning, and accountability, CCAP should arrange field visits of one project province each year for Project Board members, relevant staff of UNDP, and provincial staff.
- Where possible, CCAP should continue to strive to hire female supervisory and administrative staff.
- UNDP and CCAP may consider the possibility of allocating some training and maintenance funds to MAIL for use over a year after closure of the project for irrigation infrastructure and other investments of the project to enhance sustainability.
- MAIL and UNDP should continue and coordinate CCA capacity building of MAIL and other relevant agencies ' staff through LDCF2, LDCF3, LDCF4 and other potential initiatives, as staff transfers, turnovers, and retirement factors dilute the extent of capacity building over time.

MTR Ratings and Achievement Summary Table

The table below rates and summarizes achievements of the project. A detailed table on achievements of the table is given in Annex III.

MTR Ratings and Achievement Summary Table for CCAP

⁴ GEF 2010. *Updated Results -Based Management Framework for The Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) and Adaptation Monitoring and Assessment Tool*. Paragraph 16, page 6.

(Please see Annex IV for MTR Rating Scales)

Measure	Component/ Category	Rating	Achievement Description
Project Strategy	N/A	N/A	At the strategic level, the project directly responds to the national priorities identified in NAPA, ANDS, SNAP, and NAPWA. All the three priority areas (capacity building, livelihoods, and water infrastructure) were seen as highly relevant to the development context of Afghanistan by the stakeholders. The original logframe did not link outputs with outcomes and outcomes with the objective clearly, outcome indicators were vague and complex and did not align with SMART criteria. Both outcome and output level indicators were revised by the project to reflect current situation.
Progress Towards Results	Objective Achievement	S	<ul style="list-style-type: none"> a) A sizeable number of beneficiaries reported increased income from livelihood and irrigation infrastructure interventions, while also reporting that they perceived their vulnerability to weather related hazards had reduced. b) Benefits seem broad based. It is likely that project benefits will contribute to MDG 1, 3, and 7 in Afghanistan. c) Project achievements and outcomes are generally well respected among the government, UN agencies, academia, and among the communities. d) There is some evidence that CCAP training has created awareness and is being used to respond to CCA challenges.
	Outcome 1: Climate change risk and variability integrated into local planning and budgeting processes	MS	<ul style="list-style-type: none"> a) Project has exceeded CCA training targets, CCA integration in planning target have been met but quality needs improvement. b) Quality of training on CCA risks and adaptation measures was generally good. c) “Climate Change Scenarios for Agriculture of Afghanistan” report has successfully been completed. Implications of projected scenarios for various crops are discussed and adaptation measures are proposed. d) CCA changes in community level and provincial plans are essentially a list of activities, without any specification of guidance, design, standards, implications for additional budget, etc.
	Outcome 2: Rural income and livelihood opportunities for vulnerable communities enhanced and diversified	S	<ul style="list-style-type: none"> a) Alternative livelihoods training targets have been exceeded, investments in livelihood sub-projects are on track, and rangeland rehabilitation targets have been exceeded. b) SHG members had good ratio of poor women. Livelihood sub-projects were generating some income for members and at least half were likely to be sustainable. But they needed more training on greenhouse management, food processing and pest management, market linkages, etc. c) SME development while pursued in 2015, was discontinued in 2016 without approval from the Project Board and it is not clear where the money is allocated in the budget. d) Rehabilitation of degraded rangelands required constant and prolonged effort on part of the project and communities. Similar initiatives for rehabilitation of rangelands had been successful in the Herat Region but after input over several years.
	Outcome 3: Productive irrigation infrastructure	HS	<ul style="list-style-type: none"> a) While the work on this component did not pick up till 2016, achievement of output targets is on track with the current high momentum. b) A number of projects are at various stages of completion:

Measure	Component/ Category	Rating	Achievement Description
	rehabilitated and improved		<p>design, procurement, construction, and verification.</p> <p>c) Quality of the productive irrigation infrastructure is excellent and highly relevant to the needs of the communities, as revealed in a number of site visits in Herat and Balkh provinces.</p> <p>d) Annual income of farmers was assessed to have increased at least by 10% or more.</p> <p>e) Irrigation works and protection walls have reduced losses caused by uncontrolled flood waters in the past.</p>
Project Implementation and Adaptive Management		S	<p>a) There were challenges at the start of the project, which were successfully overcome.</p> <p>b) The project is quite likely to achieve its output target and achieve funds utilization target before or by the closing date of the project. Project implementation is proceeding at high speed.</p> <p>c) Work plans and Project Board meetings, while good, are somewhat lacking in results-oriented approach.</p> <p>d) CCAP and UNDP are productively engaged with partners. MAIL is actively leading the project.</p> <p>e) UNDP has provided backstopping services whenever project needed help. UNDP-GEF RTA is satisfied with the implementation reporting.</p> <p>f) Project performance has been somewhat less satisfactory in monitoring and evaluation, process and outcome monitoring, documentation of lessons learned, outcomes, and impact.</p> <p>g) Co-financing could have benefitted from more interaction with donors on part of the project management and UNDP.</p>
Sustainability		ML	<p>a) Risks identified in the project document are valid in the context of Afghanistan and are well monitored. <i>Co-financing difficulties</i> and <i>adequate monitoring and evaluation</i> should also have been added as relevant risks.</p> <p>b) Capacity development at the national and provincial level requires more and continuing efforts.</p> <p>c) High levels of poverty and low human development remain a threat to the sustainability of project investments, as meeting repairs, operation and maintenance, and recurring expenses may remain a challenge for communities and government.</p> <p>d) Income generated by project investments for communities may help them sustain benefits by pooling resources for maintenance, as CDCs and WUAs have been closely involved in the delivery of outputs.</p>

2. INTRODUCTION

This Draft MTR Report is a deliverable of the Mid-Term Evaluation (MTR) of the UNDP Afghanistan’s project titled “Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks”. The project is popularly known as Climate Change Adaption Project (CCAP).

2.1 Purpose of the MTR and objectives

The main objective of the MTR is to provide evidence-based information that is credible, reliable and useful. According to GEF Guidance for Conducting Mid-Term Evaluation of UNDP-Supported, GEF Financed Projects, “MTRs are primarily a monitoring tool to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion.”

The scope of work includes review of Project Information Package, GEF Tracking Tools, and engagement with project stakeholders in Kabul and in the four provinces included in the project. Terms of Reference (ToR) of the MTR are given in Annex II.

2.2 Methodology

UNDP Livelihoods and Resilience Unit shared the project document and progress reports of CCAP, which were read and carefully reviewed. Besides, a number of guides on climate change adaption and mid-term evaluation, government plans and reports, reviews of GEF operations and impact, results framework of CCA initiatives, progress reports of CCAP, maps, and similar documents were studied to come up with a comprehensive and robust methodology for undertaking the MTR of CCAP. In line with GEF Guidance and the terms of reference, a MTR Evaluative Matrix, specifying the main review criteria, and the indicators or benchmarks against which the criteria would be assessed was prepared and is given in Annex V. A list of the documents reviewed for the MTR is given in Annex VI.

The document review included the project document and all the quarterly and annual progress reports of the project. Other documents that were reviewed included those prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan), Annual Project Reviews, Project Implementation Reports (PIRs), project board meeting minutes, monitoring reports, and other materials, etc. The review also included the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the Mid-Term GEF focal area Tracking Tool. Review and analysis of the documents helped in the preparation of the Inception Report clearly elaborating the methodology for the conduct of the MTR and a work plan for the remaining MTR process.

Data collection process for the MTR was broadly defined in the “Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects” publication. Using the broad guidelines, a number of methods of data collection were used to respond to the issues and questions raised in the terms of reference. Some example data collection tools used for data collection are given in Annex VII.

MTR mission arrived in Kabul on July 16, 2017. Itinerary of the Mission is given in Annex VIII. In-depth interviews were used to understand and document perceptions, feedback, opinions, biases, commitments, and recommendations and suggestions from the participants. A detailed list of the

persons or groups interviewed for the MTR is given in Annex IX. In-depth Interviews were conducted with all relevant stakeholders to promote participation and ownership. The participants were selected after discussion with UNDP. Skype interviews were conducted with interviewees located outside Kabul. Focus Group Discussion (FGD) tool was used to interact with project beneficiaries including women. Site visits have been planned by UNDP to meet project beneficiaries in the project provinces. Separate FGDs were held with women Self-Help Groups (SHGs). “Checklist for Gender Sensitive Mid-Term Review Analysis” given in Annex 9 of the GEF Guidance was used in planning interviews and FGDs, preparing data collection tools, conducting analysis on the data, and reporting the results.

Sites for visits were selected in discussion with UNDP and CCAP. Photos and videos were used to provide visual information on project interventions. While interpreting the responses of the CCAP stakeholders, implications of protracted conflict resulting in instability and vulnerability was kept in mind. Intended and unintended outcomes of the climate change adaptation efforts were documented and examined.

2.3 Limitations of the MTR

- a) Security situation got worse in Herat and Balkh provinces during the initial schedule for data collection by the mission, resulting in doubling of time for data collection. Ongoing security situation in the Uruzgan Province made the area inaccessible to the mission for field visit. The Mission had limited choice in terms of selecting sites for field visits given security constraints. Within the constraints, effort was made to review a representative sample of places, outputs, and women, and men to draw reasonable conclusions about the actual performance of the project.
- b) It is rarely possible to conduct a thorough review of the project progress within the limited time of the MTR, especially with a single member review team. Some documents could not be made available to the MTR team in time and a detailed review may not have been possible in such cases.
- c) At national level, some senior officials in UNEP, MoEW, and ANDMA could not be available despite several contacts. Similar situation was faced in some cases in the provincial offices of DAIL, DRRD, NEPA, etc. So, team interviewed officials, who, in some cases, were not well informed about the project and its progress. In such cases, effort was made to use documents to supplement institutional views.
- d) Conclusions and recommendations included in this report reflect a balanced view of the feedback from various stakeholders and perceptions and analysis of the MTR team within the context of above limitations

2.4 Structure of the MTR Report

The report is structured according to the GEF Guidance document. Executive summary is followed by introduction chapter on the objectives, methodology, and limitations of the MTR. In the next chapter, project description and background context is provided, which is based on the project document. Findings of the MTR are the next and have been divided in four major sections: Strategy, Progress towards results, Project implementation and adaptive management, and Sustainability. At the end, the report discusses conclusions and recommendations based on the findings of the review. Annexes have been added in line with GEF Guidance.

3. PROJECT DESCRIPTION AND BACKGROUND CONTEXT

3.1 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

The Project Document stated that climate change was unfolding, which was threatening agricultural and livestock production, a key source of livelihood in Afghanistan. Besides inadequate awareness, the Document listed limited technical and functional capacity and insufficient donor attention to climate change and environmental management as factors preventing Afghanistan from responding to observed and projected climate change impacts. Already weak condition of the country was evident from the fact that the Human Development Report 2013 ranked Afghanistan at 172nd position, which showed it to be the poorest of the countries, and the Global Adaptation Index 2012 ranked it as the most vulnerable country in the world.

According to the National Adaptation Programme of Action (NAPA) Afghanistan, 2009, the country was facing periodic droughts, significant increases in temperature, and floods due to untimely and heavy rainfall and melting snow and ice, which were becoming more intense. Soil erosion was expected to increase due to droughts and heavy floods. Wells and springs in marginal areas were forecast to dry up as ground water extraction would stress on water table in river valleys. Both crops and livestock were expected to suffer due to water shortage and drought-induced human mortality was likely to increase. Climate changes were predicted to increase frequency and severity of already prevalent natural disasters such as floods, landslides, rock fall, and storms, etc., further adding to significant loss of life, livestock and crops, and damage to property, infrastructure and land. Climate change related damage and loss were expected to reduce Gross Domestic Product (GDP) significantly. Poor and marginalized people in rural areas, dependent on subsistence agriculture, were likely to be more severely affected by the adverse climate change trends. Urban centers were also expected to suffer as rural hinterland of cities became stressed; water quantity and quality, sediment management, and ecological services were seen as major challenges in the urban areas. Women, already living in inequitable social and economic conditions, were likely to be undercut by climate change related stress. Poverty was expected to increase further in the absence of adaptation to climate change.

The Project document noted that, at policy level, GoIRA had already acknowledged the need for Climate Change Adaptation (CCA) in the form of NAPA with national adaptation strategy in place. However, there was need for creating awareness and capacity building at the sub-national levels. Current adaptation initiatives were project based and there was a need to consolidate interventions to ensure climate proofed, integrated, and comprehensive adaption action.

3.2 Problems that the project sought to address: threats and barriers targeted

The Project Document listed review of several policy documents and consultations with relevant government ministries, donors, NGOs, and United Nations (UN) agencies, which led to identification of four key barriers which prevented the emergence of desired response to climate change challenge:

- a) First key barrier identified was the “Low awareness and understanding of climate change risks and impacts”. Senior policy makers and development practitioners at all levels had limited awareness about the risks posed by climate change, their relationship to development priorities and required technical expertise to integrate climate change in development planning. Traditional coping strategies of communities to respond to aggravating natural threats and disasters were inadequate, resulting in reactive response and increasing vulnerability.

- b) Second key barrier identified was “Limited availability and use of information on climate risks and adaptation options”. Communities, businesses, planners, and policy makers needed “reliable seasonal and short-term early warning information and long term trends. Few examples of successful and demonstrable responses climate change existed. Major capacity building requirement existed for environmental data collection and analysis and its application.
- c) Third barrier identified was the “Low levels of extension advice for agriculture and livelihood diversification particularly for female headed households”. It was noted that efficient agriculture depended on diligent use of agricultural inputs and water management systems but agricultural extension system was weak and biased towards male farmers. Non-agricultural livelihood options were constrained due to limited capacity at local levels to provide market information, microfinance, business planning, and accounting knowledge to small entrepreneurs and Small and Medium Enterprises (SMEs).
- d) Fourth and last key barrier identified was “Low institutional capacity and planning to address climate change”. Consultations had showed that policy framework in the country did not have sufficient mechanisms and tools for its climate proofing, and environmental management institutions suffered from chronic deficiency of technical and managerial skills while the main barrier was lack of enabling environment to support climate change integration.

3.3 Project Description and Strategy: objective, outcomes and expected results

CCAP strategy included the following key dimensions, which were derived from priorities identified in the national strategy and policy documents:

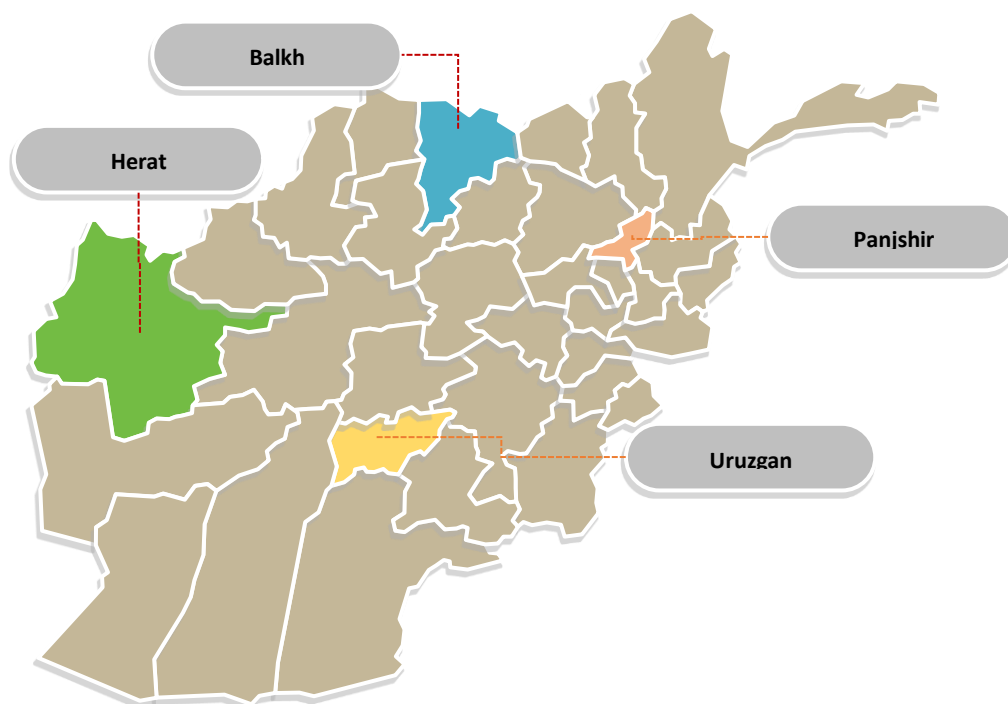
- a) Improving the GoIRA capacity to routinely integrate climate change adaptation into its planning processes
- b) Supporting the local communities by providing them with the tools for adaption (climate risk and impact awareness, diversified livelihood options, improved water management and irrigation infrastructure)
- c) Pursuing an innovative ecosystem management approach to adaptation in order to develop resilient ecosystems through establishment of indigenous plant species

Outputs and activities were broadly defined in the design to build an element of flexibility in changing outputs and activities to respond to uncertain situation on ground. Another strategic consideration is to roll out project activities in provinces and districts where security situation is conducive and then expand to other areas depending on the security situation. The total budget of this GEF-UNDP project is USD10.4 million: Global Environment Facility (GEF), through the Least Development Countries Fund (LDCF), provided USD 9 million while USD 1.4 million was provided by UNDP from its core fund. Project activities will be implemented in four provinces including Balkh, Herat, Panjshir, and Uruzgan. Selection of provinces was undertaken in consultation with key stakeholders and was based on three criteria:

- a) Presence of ongoing or planned baseline activities,
- b) Inclusion of both food secure and food insecure provinces in order to reach the most vulnerable populations and those areas that have not received significant development assistance, and
- c) Geographic representation of each major region in the country.

The project objective is *“To strengthen the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks.”*

Figure 1: Map of the CCAP Provinces



The main expected outcomes of the project are given below:

- a) **Outcome 1:** Climate change risk and variability integrated into local planning and budgeting processes;
- b) **Outcome 2:** Rural income and livelihood opportunities for vulnerable communities enhanced and diversified;
- c) **Outcome 3:** Productive irrigation infrastructure rehabilitated and improved.

3.4 Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.

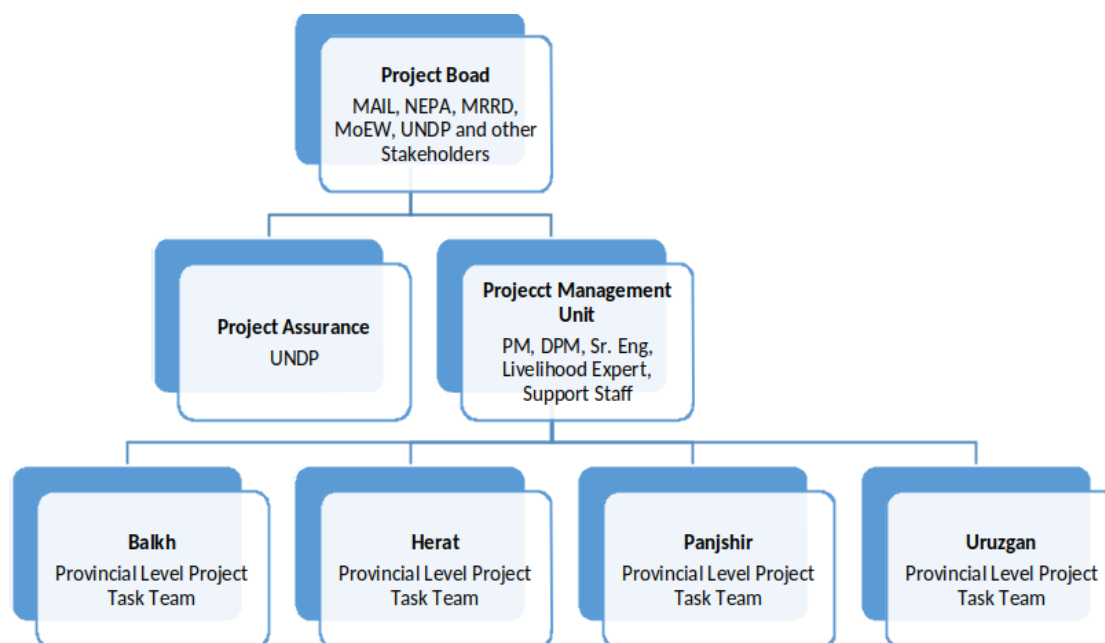
CCAP is implemented under the National Implementation Modality (NIM)⁵, which is one of the operational modalities of UNDP in a country. CCAP is implemented through the Ministry of Agriculture, Irrigation and Livestock (MAIL), Government of Afghanistan. A Project Management Unit (PMU) has been appointed to coordinate operations and manage the project. Associated responsible parties in this project are the Ministry of Rural Rehabilitation and Development (MRRD), the Ministry of Energy and Water (MoEW), and the National Environmental Protection Agency (NEPA). Provincial and district level offices of MAIL provide necessary support in the targeted provinces and districts. Implementation assurance at the country level is provided by the UNDP Afghanistan Livelihoods and Resilience Unit, supported at the regional and global level by UNDP-GEF.

Oversight of project activities is the responsibility of the Project Board, which comprises representatives from MAIL as chair, NEPA, MRRD, MoEW, UNDP, and other relevant stakeholders.

⁵ UNDP, 2011. "National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures" (http://www.rw.undp.org/content/dam/rwanda/img/pubcovers/UNDP_RW_NIM_for_GoR.pdf).

The Board coordinates inter-ministerial activities. It is expected to meet twice a year to review project progress, approve project work plans, budgets, procurement plans, and human resource plans. The Board is responsible for ensuring alignment of plans with project outcomes. The Board is also responsible for approving any major changes in project plans, project deliverables, and arbitrates any conflicts which might arise. Responsibility for delivery of results to GEF lies with UNDP, which is exercised through audits, review of project expenditures, procurement, and financial services, reporting to GEF, learning and knowledge sharing, and conduct of mid-term review and final evaluation, etc.

Figure 2: Project Management Structure



3.5 Project timing and milestones

The project is being implemented over duration of 5 years and has been planned to last from 27th April, 2014 to 27th April, 2019. The half-way point in the project was June 2016 and in accordance with UNDP and GEF requirements, the project should have been mid-term reviewed in 2016, but due to low delivery it was decided to undertake a mandatory mid-term review around June 2017. End-of-project evaluation is expected to be undertaken around March 2019. As of June 2017, four Project Board meetings have been held, i.e. 12th July 2015, 22nd February, 2016, 31st August 2016, and 7th December 2016. Project management expects to hold at least six more meetings of the Board. UNDP commissioned a financial audit of 2015, which was completed on 10th April 2016.

Milestone	Completion Date/ Event Date
PIF approval date	7 th March 2013
CEO endorsement date	7 th April, 2014
Project signing date	27 th April, 2014
Project start date	27 th April, 2014
Project Inception Workshop	11 th January, 2015
First Project Board meeting	12 th July, 2015
Second Project Board meeting	22 nd February, 2016
Third Project Board meeting	31 st August, 2016

Milestone	Completion Date/ Event Date
Fourth Project Board meeting	7 th December, 2016
First work plan and budget approved	6 th January, 2015
Second work plan and budget approved	22 nd February, 2016
Third work plan and budget approved	9 th January, 2017
Mid-Term Review completed	September 2017
End-of-project evaluation completed	1 st December 2019
Expected project closure date	27 th April, 2019

3.6 Summary list of main project stakeholders

Main stakeholders of the project include the following:

- a) National: MAIL, MRRD, MoEW, NEPA
- b) UN: United Nations Environment Programme (UNEP), Food and Agriculture Organization (FAO), UN Habitat, World Food Programme (WFP)
- c) Donors: United States Agency for International Development (USAID), World Bank, Australian Aid (AusAID), Danish Embassy
- d) Provincial: Provincial offices of MAIL, MRRD, MoEW, NEPA; Provincial Governor Offices
- e) Districts: District Development Assemblies
- f) Academia: Kabul University
- g) NGOs: ACTED, CARE International, Focus Humanitarian Assistance
- h) Community: Community Development Councils, Women Self-Help Groups

3.7 Climate change adaptation within the context of protracted insecurity and instability in Afghanistan

The project document lists and recounts a number of concerns and issues related to insecurity and instability in Afghanistan and how conflict, instability, and climate change exacerbate each other. Ongoing instability and insecurity were considered a major risk for the project and were seen to have several implications for the design, implementation, and results of the project, as listed below:

- a) Afghanistan is a country with high risk profile due to a combination of climatic and natural circumstances and being a historically grown hotbed of social and political conflict and economic vulnerability.
- b) Afghanistan has experienced an extended period of instability and war, which has hindered development.
- c) The policy priority currently afforded to climate change may be overshadowed by other emergency matters such as security, conflict and humanitarian disasters.
- d) Thirty years of conflict and restricted development have left karezes unattended and in crucial need of repair and improvement to reduce water losses and improve delivery.
- e) With more than two decades of conflict (and collapse of national, provincial and local forms of governance), natural resources have been exploited, and most of the rangelands are degraded and misused due to overgrazing, long spells of drought, lack of proper management, utilisation of local vegetation as fuel by rural communities, and an increasing population with limited livelihood opportunities.
- f) The legal framework for environmental management issues in Afghanistan has not yet been completely formalized. This is largely a result of the long period of insecurity, in conjunction with a number of shifts in government.

- g) It is possible to extend the project duration in order to allow project activities to reach fruition despite political instability.

A Briefing Note by A New Climate for Peace⁶ explores the links between instability, vulnerability, and climate change. According to the Note, high incidence of natural disasters adds to vulnerability of the people of Afghanistan. Ongoing instability and conflict add further to their vulnerability. Limited capacity of the government to cope with these challenges makes it very difficult for people of Afghanistan to escape vicious cycle of poverty and fragility. Climate change tends to degrade land, which is already a main source of conflict in Afghanistan. Droughts and resultant scarcity of water may incline farmers towards cultivation of opium poppy, which provides revenues to anti-government elements leading to further conflict. Climate change affects agriculture and agriculture affects economy, which is still agrarian, adding to livelihoods insecurity.

It is to be noted that performance of the CCAP has been interpreted in the above context of protracted conflict and instability whereby even maintaining vulnerability at the baseline levels might also be considered an achievement.

3.8 CCAP web links

1. Project website, UNDP Afghanistan
http://www.af.undp.org/content/afghanistan/en/home/operations/projects/environment_and_energy/ClimateChange.html
2. Medium
<https://medium.com/@UNDPaf/undp-and-climate-adaptation-in-panjshir-4d827d217376>
YouTube
<https://www.youtube.com/watch?v=ctA5hmEM9js>
3. Agence France-Presse (AFP)
<http://www.af.undp.org/content/afghanistan/en/home/presscenter/IntheNews/Climate-change-fuels-insurgency-Afghanistan.html>
4. Flickr
<https://www.flickr.com/photos/undpafghanistan/sets/72157673735825681>
5. Climate Change Adaptation Portal, UNDP Afghanistan
<http://adaptation-undp.org/explore/afghanistan>
6. Climate Change Adaptation Project on Twitter
<https://twitter.com/i/moments/883864217689800704>
7. Climate Change Adaptation Project on Facebook
<https://www.facebook.com/Climate-Change-Adaptation-Project-CCAP-1822421664710668/>

⁶ A New Climate for Peace, 2015. "Briefing Note No. 13 Afghanistan Climate Fragility Risk Brief "

4. FINDINGS

4.1 Project Strategy

(UNDP Terminology: “Relevance”)

Findings of the MTR are organized around the evaluation criteria or questions listed in the terms of reference of the MTR. This chapter reviews the project strategy in terms of design of the project and results framework.

4.1.1 Project Design

Box 1: Evaluation Criteria – Project Design

- Review the relevance of the project strategy and were lessons from other relevant projects properly incorporated into the project design;
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects);
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes;
- Review the extent to which relevant gender issues were raised in the project design.
- If there are major areas of concern, recommend areas for improvement.

4.1.1.1 Relevance to country priorities and country ownership

As noted in the previous chapter, the project design was based on the priorities identified in NAPA. *Improved water management and use efficiency, and rangeland management*, both reflected in Component 3 of CCAP, were ranked *number one* and *number five priorities*, respectively, in NAPA. *Improved food security and creation of off-farm employment*, addressed in Component 2 of CCAP, were ranked *priority number five* and *seven*, respectively, in NAPA. In line with the constraints, opportunities, and targets identified in National Capacity Needs Self-Assessment for Global Environmental Management (NCSA) document, which was prepared along with NAPA in 2009, Component one of CCAP responds to capacity constraints by seeking to increase awareness of climate change risks and adaptation among government staff and communities and by demonstrating integration of climate change in the provincial and local planning documents.

Afghanistan National Development Strategy (ANDS) 2008-2013⁷ was another key policy document at the time of formulation of the project. Some key priorities in ANDS addressed in CCAP design included *sustainable livelihoods, natural resource management, provincial and local development planning, and water availability and efficiency*. Another key relevant policy document prepared by GoIRA in 2011 is the Strategic National Action Plan for Disaster Risk Reduction (SNAP). SNAP outlines the framework for development of national disaster risk reduction structures and seeks convergence of Disaster Risk Reduction (DRR) and CCA. CCAP contributes to the DRR objective 5 of SNAP to *strengthen community resilience using means to reduce the underlying factors of risk* through interventions in all the three components of CCAP. CCAP is also aligned with National Action Plan for Women’s Affairs (NAPWA) and ANDS, both of which seek promotion of women through education,

7 Replaced by the United Nations Development Assistance Framework in 2017.

training, economic empowerment, and social uplift, as Component two of CCAP emphasizes engagement of women through Self-Help Groups (SHGs) for livelihood activities.

There seems to be adequate ownership among the GoIRA of the climate change concerns: *Afghanistan’s government has warned that climate change is putting “the foundation of the country’s economy, stability, and food security under threat”⁸*. Afghanistan is signatory to several Multilateral Environmental Agreements (MEAs) including United Nations Framework Convention on Climate Change (UNFCCC), United Nations Convention to Combat Desertification (UNCCD), Rio Conventions —on Biodiversity, Climate Change, and Desertification (UNCBD), and Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). Besides, preparation of NCSA/NAPA policy documents shows high levels of ownership of CCA agenda by the country. The country has relevant institutional structure in place to take forward the climate change adaption initiatives albeit with significant need to capacity building. Relevant institutions include NEPA (policy making regulation), MAIL (development of agriculture, food security, disaster management, early warning), MRRD (rural development with focus on climate and disaster risk reduction), MoEW (national water policy, climate change policies) Afghan Scientific Research Institute, Afghan Institute for Agricultural Research, Afghan Meteorological Agency, and NGOs.

Consultations during MTR fieldwork mission confirmed that all the relevant stakeholders including ministries, provincial departments, communities, NGOs, and academia were highly concerned about increasing temperatures and droughts, infrequent and intense rains, and more frequent floods, as their first-hand experience. A recent article from the *Guardian*⁹ on *How Climate change is a ‘death sentence’ in Afghanistan’s highlands* just corroborates these findings. There was a sense of urgency and high ownership among the stakeholders about the CCAP components and interventions. Irrigation infrastructure built by the project was the most highly appreciated intervention.

“Afghanistan contributes the least to the global warming and climate change and yet Afghanistan is the country worst affected by the climate change”

Asadullah Zamir
Minister of Agriculture,
Irrigation, and Livestock,

4.1.1.2 Stakeholder consultations

Wide ranging consultations were undertaken with many of the above stakeholders while formulating the project design of CCAP. Notes in Annex III and Annex IV of the project document show that there was reasonable awareness among government ministries, departments, and offices about the implications of climate change for Afghanistan. Consultations were undertaken at the level of Deputy Ministers (MAIL, MRRD, MoEW, NEPA), donors (USAID, AusAID, World Bank, Danish Embassy), UN agencies (FAO, UNOCHA, UNHCR, WFP), director generals at provincial level, NGOs (ACTED, CARE International), CDCs, DDAs, and private sector. A number of consultations with held with women at community level to understand their perspective on climate change issues, barriers they faced, and their role in implementation arrangements. Results were validated in a Focus Group Discussion with representatives many of the above stakeholders. Successes and failures of past and ongoing initiatives were discussed. Capacity of the ministries and departments to undertake CCA was reviewed. Initial data collection, analysis, and cost effectiveness analysis was conducted of a number of potential interventions.

⁸ GoIRA, 2015. *Intended Nationally Determined Contribution*, Submission to the UNFCCC

⁹ Rasmussen, Sune Engel, 2017. *How climate change is a ‘death sentence’ in Afghanistan’s Highlands. Global warming should be taken as seriously as fighting insurgents, say those witnessing the savage impact first-hand*. The Guardian, 28th August 2017.

4.1.1.3 Gender Issues

The project document raised, discussed, and addressed several gender issues. It was noted that climate change adaptation efforts should improve resilience of both women and men to climate related shocks, and create opportunities for building self-reliance. According to the project document women faced barriers such as limited livelihood options, restricted access to education and information services, and insufficient means to recoup assets, which increased their vulnerability to disasters and other climate change effects. Identification of needs, design outputs, impact, and monitoring were required to take particular care of women's needs. It was pointed out that agricultural extension system was biased towards men, which marginalized women. To bring about gender equality, project planned to invite women to workshops and involve them in implementation and management committees. Participation of women in project activities due to cultural factors was seen as a risk and was included in the project risks. As countermeasure, gender awareness campaigns were planned to be run with both men and women to emphasize the importance of women livelihoods for better education, health and nutrition in the family. It was decided that preference will be given to district and communities willing to promote participation of women.

4.1.1.4 Resilience in the context of CCAP

Goal of CCAP is to strengthen the “resilience” of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan, and Herat Provinces to manage climate change-induced disaster risks. Understanding the concept of “resilience” is important to achieve the goal of the project. Authors of GEF¹⁰'s Resilience, Adaptation Pathways and Transformation Assessment (RAPTA) Framework define resilience as “the ability of a system to absorb disturbance and reorganize so as to retain essentially the same function, structure, and feedbacks. Resilience is a neutral property, neither good nor bad. It is sometimes described as coping capacity.” Adaption is then defined as “a process of change that enables the system to achieve desired goals, including by reducing vulnerability to disturbance or threats such as climate change.” Authors argue that resilience may or may not be advantageous: If an agroecosystem is in undesirable state (affected by land degradation or poverty, etc.) then resilience is not good; the goal in such a case should be transition, through adaptation or transformation, to a desired state. As an example of another definition of resilience, the Intergovernmental Panel on Climate Change¹¹ (IPCC) adopted a somewhat ecological definition of resilience: “ability of a system and its component parts to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner.” However, UNDP Human Development Report 2014¹² introduced the concept of human resilience as follows: “Vulnerability can be reduced by preventing shocks or by building resilience at the individual and community levels. Due to the constructs of society, some people face restricted choices and capabilities. Human resilience is about removing the barriers that hold people back in their freedom to act. It is also about enabling the disadvantaged and excluded groups to express their concerns, to be heard and to be active agents in shaping their destinies.”

The CCAP project document does not specifically define resilience or adaptation but the context in the project document throws some light on the implied meaning of this term. The project document tends to follow the concepts of both the ecological resilience as defined by IPCC and the human

10 Scientific and Technical Advisory Panel, GEF, June 2015. “An introduction to the Resilience, Adaptation Pathways and Transformation Assessment (RAPTA) Framework”.

11 https://www.ipcc.ch/pdf/special-reports/srex/SREX_Full_Report.pdf page 34.

12 <http://hdr.undp.org/sites/default/files/hdr14-report-en-1.pdf> page 16.

resilience approach as defined by UNDP. CCAP did seek some transformation by seeking to adapt ecosystems to climate changes, as is evident from the goal statement above. CCAP project document uses words and phrases such as “climate proofing”, “improvement in the irrigation and water infrastructure”, “support the advancement of alternative livelihoods”, “strengthening the capacity of development planners and community”, “management of natural resources to continue to provide ecosystem services”, “ecosystem management adaptation”, “Better agricultural productivity”, “climate change and variability integration”, and “improvement in the livelihood of women”, etc. when discussing resilience.

The project and the communities felt, as it became evident during field visits and consultation with stakeholders of CCAP, that improving livelihoods and food security was the most important element of resilience. Exploration and improvement of alternative livelihood options such as non-farm enterprises were not seen as priority, especially by the project. UNDP gave priority to capacity building of stakeholders, social mobilization of communities, improvement in governance systems, and reduction in conflicts as important contributions to resilience, which is in line with the human resilience approach.

4.1.2 Results Framework/Logframe

Box 2: Evaluation Criteria – Results Framework/Logframe

- Undertake a critical analysis of the project’s log-frame indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary;
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame;
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis;
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

4.1.2.1 Logframe results chain and indicators

Results framework or logical framework (logframe) is an important tool for summarizing deliverables of the project and to state outcomes to be influenced through the deliverables. It is also a great instrument for accountability of project management. It is clear from the review of the project document and the original results framework (page 51 of the project document) that project objective, components and outputs were generally well formulated. Outcome statements clearly captured the expected outcomes. However, the overall results framework had not been prepared in line with the guidelines provided in the UNDP *Handbook on Planning, Monitoring and Evaluating for Results*¹³. UNDP Results Based Management (RBM) terminology and concepts were not used consistently. For example, highest level result of a project according to UNDP RBM terminology is *impact (or goal)*, which clearly shows that it is a long-term result. Besides, UNDP RBM approach states logframe results as if they happened in the past. Term *impact* in the CCAP logframe was replaced with *objective*, which is used both for outcomes and impact and is future oriented, not past oriented; an equivalent future oriented term for impact would have been *goal*.

¹³ UNDP, 2009. *Handbook on Planning, Monitoring and Evaluating for Results*. <http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>

Vertical logic of the logframe was not coherent. The link between *output* and *outcome* levels was not clear. For example, training of MAIL officials, farmers, and pastoralists (output) would have led to *increased awareness on climate change*, and *strengthened capacity of the communities and government to respond to climate change*. However, both of these logical outcomes of the training were not captured in the outcome indicators. In turn, the outcome indicators did not seem to add to *impact* (objective in this case) of the project, which aimed to *strengthen the resilience of rural livelihood options*; none of the *impact* (objective) level indicators captured resilience of livelihoods.

While outcome indicators were described separately in the project document, logframe did not differentiate between output and outcome indicators, as separate *outcome statements* and *output statements* were not provided. Related output and outcome indicators were placed in the same cell of the table, creating confusion. Output indicators were generally clear but outcome and impact level indicators were not aligned with the SMART (Specific, Measurable, Achievable, Relevant, Time-bound) criteria. Many indicators were vague, too broadly defined or too complex to be measurable, and not relevant to outcome or impact statement being measured. For example, under Outcome 1, one indicator was “*Extent to which climate change information and adaptation measures are incorporated into MAIL local plans in four provinces*”. This indicator combined *information* and *adaptation measures* into one indicator, which made it a complex and confusing indicator; baseline and end-of-project values of the indicator measured different things (institutional capacity vs. investment strategies). No scale or rating or other standardization was introduced to make the indicator *achievable* and *measurable*. A more productive approach would have been to align the outcome and impact indicators with the indicators given in the UNDP’s Monitoring Framework for Climate Change Adaptation, 2007¹⁴.

Baseline and end-of-project values of *outcome* and *impact* indicators are generally measured through baseline and endline statistical surveys of the target beneficiaries and stakeholders. No baseline and endline survey was planned for the project, which made it more difficult to come up with more specific, relevant, and measurable indicators of *outcomes* and *impact*. GEF puts a lot of emphasis on inclusion of *process* indicators¹⁵, which were missing from the CCAP logframe. One example of such indicator could be *Number of Women Self-Help Groups formed* which does not help in measuring any tangible output, but helps in assessing institutionalization and capacity building of the communities, which is likely to contribute to better management and governance at the community level. Logic behind setting of end-of-project targets is not clearly mentioned, which makes it difficult to assess appropriateness of the target values.

Before the start of the MTR, project team and UNDP had recognized the need to revise the logframe and a revised version of the logframe was made available to the MTR team. Outcome indicators in the first revision of the logframe were removed, which were replaced with relevant outcome indicators in the second revision. Output indicators in the first revision of the logframe were clear, however, some minor changes in the wording or scope of the indicators were suggested by the MTR team, which were accepted by the project team. A copy of the 2nd revision of the logframe is given in Annex X.

It was a challenge to come up with relevant, specific, and quantitative indicators for impact and outcomes, as this information is usually gathered from project beneficiaries through surveys and

14

http://www.un.org/esa/sustdev/natlinfo/indicators/15Oct_2008/presentations_pdf/Bo%20Lim.pdf

¹⁵ Stadelmann, Martin; Michaelowa, Axel, Butzengeiger-Geyer, Sonj, Köhler, Michel, 2011. *Universal metrics to compare the effectiveness of climate change adaptation projects*

other studies. While impact can hardly be measured before the closure of a project, most of the immediate and some intermediate outcomes can be measured periodically to establish direction for the results of a project. The available alternatives to statistical and quantitative studies are the mid-term review and end-of-project evaluation, which provide an opportunity to reach project stakeholder systematically. However, MTR and end-of-project evaluation mostly provide data for qualitative analysis. So, many outcome indicators in the revised logframe were framed as qualitative indicators, which could be reported by the MTR and end-of-project evaluation consultants as expert opinion. Qualitative indicators are in line with the review of logframes of GEF projects, which finds qualitative indicators to be easy to measure and useful¹⁶, as “quality can be examined against recommended standards, expert opinion, or stakeholder perceptions.”

Significant changes were made in the output indicators as mix of outputs initially envisaged was changed around the time of the MTR. These changes were necessitated due to evolving situation analysis, realities on the ground, recommendations of the Project Board, security situation, and non-availability of certain human resources. For example, one of the outputs of the project under Component One was “*Number of climate change scenarios for the agriculture sector in selected provinces*” with a target of 4 project provinces. However, this target was changed to all 34 provinces of the country after recommendation of the Project Board. Similarly, the revised logframe contains a new indicator under Component Two “*Number of greenhouses, underground storage facilities and rooms for making raisins constructed*”. This indicator or output was introduced based on analysis of the on ground situation, demand from the communities, and the proposed outcome of the component. The indicator brought clarity to the project implementation, helped clearer allocation of resources, and made achievements of the project more visible.

Most of the indicators in the original logframe were not gender disaggregated. For example, under Outcome 1, one of the output indicators was “*Number of MAIL officials, DDA and CDC members etc. trained on climate risk information and appropriate response measures*”. In the revised logframe, separate baseline and target values were specified for women and men. Similarly, separate targets were introduced for men and women for various indicators, where possible. Baseline numbers have not been collected, for example, for “*average wheat yield for 2016*”. The project should have collected baseline information in 2014; further delays in collecting this information will seriously contaminate the numbers, as farmers may not remember the past yields correctly.

Lastly, assumptions related to various links of the result chain (from output to outcome level, from outcome to impact level) were revised to reflect real factors that could affect the results chain despite excellent delivery on part of the project. These factors should be kept in mind when assessing the performance of the project at the time of conducting the end-of-project evaluation.

4.1.2.2 Monitoring of broader development context

First half of the project was devoted to creating an effective management structure, establishing policies and procedures, putting in place monitoring and evaluation arrangement, taking the stakeholders on board and delivering project outputs to intended beneficiaries while assuring quality of the products and services. With outreach to significant number of beneficiaries, immediate outcomes of the project have become visible including access to project outputs to increase or stabilize income, increased awareness levels on climate change, inclusion of climate change adaptation in community and MAIL development plans, implementation of risk reduction measures, etc. Intermediate outcomes such as changes in capacity of stakeholders to manage climate change,

¹⁶ Evaluation Office, Global Environment Facility, 2008. *Elements for an M&E Framework for Climate Change Adaptation Projects –Lessons from GEF Climate Change Adaptation Projects.*

changes in perceptions of vulnerability, creation of skills for adaptation, increase in income, and perceptions on ability to sustain benefits of the project are also becoming visible. While project has done well so far, now is the time to go beyond outputs and focus on broader issues such as provision of services to enhance benefits of delivered outputs (e. g. cold store management techniques, market linkages), outcome monitoring to improve delivery of remaining outputs and services (product development), rich documentation of successful examples of impact through outcome and process monitoring reports, case studies, thematic studies, research notes, multimedia, newspaper articles, and journal articles, etc.

Project investments have added to building of social capital, economic capital, human capital and physical capital in varying degrees in Afghanistan. Income gains will be higher where productive irrigation infrastructure has been built, followed by agricultural livelihood investments such as greenhouses and food processing groups. Some benefit will accrue in the form of reduction in losses of crops due to structural mitigation infrastructure. Women will benefit somewhat more than men as they have been given preference in livelihood trainings and in provision of productive assets such as equipment. Besides, SHGs have added to the social capital for women as they voice their concerns more effectively in society. Strengthening of women groups, CDCs, WUAs, DDAs and capacity of government functionaries is likely to reduce conflict and lead to improved provision of services, which will improve overall governance.

In terms of addition of SMART indicators to the logframe, the project would benefit by including a number of process indicators such as “No. of women SHGs formed”, “No. of women SHGs linked with markets”, “No. of livelihood/infrastructure projects under construction”, “No. of procurement's in progress”, etc. Process indicators can be prepared using the project's operational records and do not require additional data collection.

4.2 Progress towards Results

(UNDP Terminology: “Effectiveness”)

Box 3: Evaluation Criteria – Progress towards Results

- Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review;
- Identify remaining barriers to achieving the project objective in the remainder of the project;
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

CCAP project has shown considerable progress during its first-half part of implementation period in terms of showing good achievement of delivery of the planned outputs and services, spending of budget, and ensuring reasonable quality of the outputs and services. While showing less than satisfactory performance in the first year of implementation, by the time of the conduct of the MTR, the project has built impressive momentum in terms of meeting its delivery targets. Assessment of immediate and intermediate outcomes of the project shows promising progress. Overall, performance of the project is rated as “Satisfactory” as of the time of completion of the Mid-Term Review.

Ratings (see Annex IV for Ratings Table):

Component 1	Moderately Satisfactory	Component 2	Satisfactory	Component 3	Highly Satisfactory
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4.2.1 Progress towards outcomes analysis

According to GEF Guidance, a detailed *Progress towards Outcome Analysis* matrix was prepared to assess and rate progress at the objective and outcome level (Annex III). Color coding of progress is given at the top of the matrix and ratings scales are given in Annex IV. In addition to outcomes, progress assessment for outputs, which is not a requirement of GEF, has been added in the matrix to provide a more comprehensive review of the project. However, outputs have not been rated. Here is a summary of project progress by year:

- On 31st September 2014, the newly elected president of Afghanistan imposed a ban on recruitment of government staff, which remained effective till May 2015¹⁷. Before the ban, MAIL had been able to recruit only the Project Manager (PM) and the Senior Irrigation Engineer but not the rest of the technical team as planned in the Project Document. Another key factor that added to the delay in the implementation of the project was designed off-budget and the CCAP contract of UNDP with GoIRA required MAIL to open a bank account. However, the Ministry of Finance informed MAIL, that line ministries were not allowed to open their own accounts. Hence, MAIL asked UNDP to make payments to the project using the National Implementation Modality (NIM). UNDP, after a lengthy process of discussions and approval, agreed to make direct

¹⁷ UNDP Afghanistan, 2015. *1st Project Implementation Report, 2015, page 4*

payments to the project on submission of invoices and reimbursement requests. These two factors led to underperformance of the project in the beginning. None of the output targets in the AWP 2014 was completed in 2014.

- Key vacant project positions were filled by August 2015. Provincial offices were established before the end of 2015. Introductory meetings were held with provincial departments and livelihood and irrigation sub-projects were identified through the provincial Department of Agriculture, Irrigation, and Livestock (DAIL), Community Development Councils (CDCs), Department of Women Affairs (DoWA), Civil Society Organizations (CSOs), etc. CCAP also started a market survey to identify non-farm income generating activities. Some livelihood sub-projects were completed in 2015. Some trainees for CCA training were also identified in 2015. Some Small and Medium Enterprise (SME) and Self-Help Groups (SHGs) for women were provided training on financial management, business management, marketing, and food processing, etc. Some greenhouses and raisin rooms were also constructed. About 5.5% of the project funds were spent in 2015.
- In 2016, CCAP trained 433 (299 women) government officials and CDC members on climate change risks and adaptation. CCAP reviewed 17 Community Development Plans (CDPs) and added CCA measures. Project established 30 SHGs for women. About 393 women and 32 men were provided livelihoods training. Contract for preparation of Climate Change Scenarios Report was commissioned. CCAP completed 27 livelihood sub-projects such as greenhouses, solar dryers, raisin houses, distribution of improved seeds, etc. In terms of infrastructure, protection walls, water reservoirs, water supply networks, canal control gates, and water diversion systems were constructed. CCAP exceeded its AWP 16 targets and budget was revised upwards to USD 2.45 million, representing 24% of project budget.
- In 2017, CCAP planned to train 53 officials and community members on CCA risks and adaptation measures, and revision of 4 PDPs to incorporate CCA measures, complete the Climate Change Scenarios Report, train another 474 women and 105 men on alternative livelihoods to farming, construct more green houses, rehabilitation of rangeland, improvement of karezes and canals, and so on with a budget of USD 4.02 million; as of 30th June 2017, USD 2.13 million had already been spent.

4.2.1.1 Progress towards Development Objective

To strengthen the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks.

Project budget: USD 10,400,000, Expenditure: USD 5,170,776 (50% of the budget as of June 2017)

As noted above, MTR rated progress towards the development objective of the project as “**satisfactory**”. Implementation of CCAP was started in April 2014. However, the project ran into difficulty early in the beginning:

Based on the consultations with national and provincial stakeholders regarding the performance of the project, general consensus was that that despite some problems in kick starting the project, delivery was proceeding at an impressive speed now and quality of the delivered products and services was good. Project team was well respected among the GoIRA and UN agencies. Some key justifications for the rating are:

- A sizeable number of beneficiaries, including women, had reported good (5-20%) increase in annual income from profits of livelihood interventions and from increases in irrigated land and increased yields of crops.
- At the same time, construction of the irrigation productive infrastructure, as they perceived it, had reduced their vulnerability to floods because of better control on flow of water.

- Climate change risk and adaptation training targets were exceeded and quality of the training was generally good.
- Integration of CCA in local plans was on target but quality of the integrated needed to be improved.
- Benefits of the project were broad based and reasonable effort was made to include the poor, vulnerable, and women among the beneficiaries of the project.
- The project is likely to contribute to the achievement of Millennium Development Goals 1 (Eradicate extreme poverty and hunger), 3 (Promote gender equality and empower women), and 7 (Ensure environmental sustainability) in Afghanistan. With improved availability of water and resilient livelihoods, conflicts are likely to subside, which, in turn, will contribute to peace and improved governance in the project provinces.

4.2.1.2 Outcome 1: Climate change risk and variability integrated into local planning and budgeting processes

Component budget: USD 1,452,500, Expenditure: USD 674,456 (46% of the budget)

Achievement of outputs:

- The project engaged a local consulting firm to prepare climate change scenarios for the four project provinces. Later, the target was changed to all the provinces of Afghanistan. The report was successfully completed by the time of the MTR. The report is likely to be made available to a number of development actors to help them manage climate change.
- Project also arranged training on climate change risks and adaptive response for MAIL, MRRD, NEPA, and MoEW officials and community members. Training targets were exceeded. Based on interviews of some trainees and review of training records, quality of the training was good.
- Another key intervention was incorporation of CCA information in MAIL's annual Provincial Development Plans (PDPs) and in Community Development Plans (CDPs). Two out of 4 PDPs had been revised with CCA information and 24 out of 15 CDPs had been revised, exceeding the target. However, it was expected that MAIL officials at the provincial level would make changes in the PDPs after getting training from CCAP but changes were made by the CCAP staff. Similarly, most of the community development plans added a few adaptation measures (e.g. reforestation, drought resistant seeds, drip irrigation system, environmental awareness, etc.). However, these plans covered only the areas traditionally managed by MAIL/DAIL in villages and did not cover other sectors and disaster management, disaster mitigation, and disaster preparedness.

Progress towards outcome: MTR rated achievement of this outcome as “**moderately satisfactory**” for the following reasons:

- Review of training records and interviews of some trainees ' shows that quality of the training was generally good and people good link their climate related observations with possible causes. They understood the broad mechanics of climate change and its impact and related risks. Awareness levels and motivation to work on climate change was also good among the responsible partner ministries in the provinces.
- The MTR team examined the “Climate Change Scenarios for Agriculture of Afghanistan” report. Quality of the report looks good. Projections are based on detailed historical data; scenarios cover 2017-2036 and 2037-56. Afghanistan is divided into seven agro-climatic zones for analysis. Perceptions of stakeholders on climate change are compared with technical projections. Implications of projected scenarios for various crops are discussed and adaptation measures are proposed.

- CCA integration needs to go beyond agriculture, especially at the community level. Capacity of the DAIL staff themselves in interpretation and use of climate change risk information and in proposing appropriate adaptation response in plans needs to be enhanced.

4.2.1.3 Outcome 2: Rural income and livelihood opportunities for vulnerable communities enhanced and diversified

Component budget: USD 2,933,000, Expenditure: 2,387,470 (81% of budget)

Achievement of outputs:

- CCAP has successfully created Women Self-Help Groups (WSHGs) of about 15 women each to train them on income generating activities. Some basic financial management training has been provided to them by female Social Organizers based in provincial offices of CCAP.
- As outline in the project document, a market survey was conducted in Balkh in 2016, which identified “new agriculture technologies, animal husbandry, tailoring, agribusiness, fresh and processed fruits and vegetables, fisheries, tunnel farming and kitchen gardens” as possible successful income generating activities for women. Based on this information, the project decided to train women and men on income generation activities (Output 2.1) and construct green houses, storage facilities, and raisin making rooms, which was included as a news indicator (Output 2.2) in the revised logframe. Progress on both outputs is very good (achievement on output 2.1 far exceeds targets) and quality of the constructed facilities is satisfactory.
- Another key output under the component in the original logframe was “capacity building of rural entrepreneurs and SMEs”. A Small and Medium Enterprise (SME) working in food processing was trained and supported with necessary equipment in Balkh in 2016. However, the project team felt that it did not have the capacity to work with SMEs; besides, the project felt that SMEs did not necessarily engage women as workers. So, the project has decided to reallocate money for this component.
- Third output under this component was restoration and rehabilitation of 2,000 hectares of degraded rangelands. Target for this output was reduced to 400 hectares in the revised logframe, as the project management assessed that the budget allocated to this output was insufficient for the original target. However, in reality the project has already exceeded the revised target. Personal observation of the MTR team at a rehabilitated site in Herat showed that weather conditions were very harsh (strong gusts of winds, high temperatures) and required constant care of the site and frequent watering of the plants.

Progress towards outcome: MTR has rated progress towards this outcome as “satisfactory” with the following justifications:

- a) MTR team asked groups of women a number of questions about process of formation of groups, selection of members, inclusion of poor and vulnerable women, experience of the group in generating income for their members, and capacity of the groups to continue with income generating activities without support of the project. It was asessed that member women generally were widows, poor, and vulnerable; groups were able to generate income for the members (about 1,000-10,000 AFs per women per season), however, the income varied from season to season. Women groups who were deriving income from greenhouses and food processing activities were confident that they would be able to continue to operate and maintain the project investments with their own contributions in the future. But they needed more training on greenhouse management, food processing and pest management. They also requested the project to help them create market linkages, which was a difficult area for them being women.
- b) An SME supported by the project in a slum area of Mazar Sharif, Balkh, was very optimistic and ambitious, as they were producing high quality preserved vegetables, pickles, and jams, etc. and

were supplying to most of stores in Mazar Sharif. They were looking for equity injection, or use their own savings, to expand their operations to be able to supply to the entire province. The SME did not like to borrow from a bank as it believed that interest was prohibited by religion.

- c) CCAP had conducted a market survey to identify non-farm livelihood opportunities, and provided business development related trainings to 36 members of SMEs in 2015. However, in 2016, the project decided not to work with SMEs with the logic that this area of expertise is considerably different from activities in the rest of the project and the cost of hiring SME specialists does not justify the benefits. This change in plans should have been explicitly ratified by the Project Board and UNDP, as the logic was in conflict with the original outcome of this component to build climate resilient livelihoods by diversification away from climate dependent sources of income.
- d) Regarding the rehabilitation of degraded rangelands, the MTR team assessed that survival rate of the sown plants was limited and required constant and prolonged effort on part of the project and communities. Communities living around the rangelands had shown commitment to support the initiatives of the project. A meeting with a regional representative of Danish Committee for Aid to Afghan Refugees (DACAAR), an NGO working in Afghanistan since 1984, revealed that similar initiatives for rehabilitation of rangelands had been quite successful in the Herat Region. Project management needs to learn lessons from DACAAR to ensure that rangeland rehabilitation becomes successful.

4.2.1.4 Outcome 3: Productive infrastructure improvements

Component budget: USD 5,038,000, Expenditure: USD 1,730,517 (34% of the budget)

Achievement of outputs:

- The project has completed 6 out of 12 small community based storage reservoirs. The reservoirs are meant to provide water for drinking and irrigation in drier months of a year. Project has implemented 4 out of 12 originally planned micro-water harvesting structures. Target for this activity was reduced to 4 from 12, as it was determined that the activity was suitable for only one of the four provinces.
- The project has cleaned and rehabilitated 11 out of 20 *karezes* (underground water channels) and canals. However, the target for activity has been increased to 28 from the 20 *karezes* in the original logframe.
- The original logframe planned to build at least 20 check dams and contour bunds. Project started some contour bund sub-projects in 2016 but the sub-projects have been cancelled due to security reasons. In the revised logframe, target for this output has been reduced to 4.
- Above outputs are targeted to protect 800 hectares of land from damage by floods and with the current construction, 580 hectares are already expected to have been protected.
- In addition, 10,000 hectares of land are targeted to be irrigated (new irrigation or better irrigation) from additional water either due to increased delivery of water or storage capacity of water or increased efficiency of water delivery through improved canals and *karezes* or both;

Progress towards outcome: MTR has rated the progress towards this outcome as “**highly satisfactory**” with the following justifications:

- a) While the work on this component was delayed till 2016, achievement of output targets is reasonable, and budget utilization for the component is only about 34%, a number of projects are at various stages of completion: design, procurement, construction, and verification. Most of the spending during 2017 and 2018 will be channeled to this component. Quality of the productive irrigation infrastructure is excellent and highly relevant to the needs of the communities, as revealed in a number of site visits in Herat and Balkh provinces.

- b) Irrigation sub-projects benefit an entire village or number villages by increasing water for crops, fruit trees, and livestock, leading to increased productivity, higher yields, and improving income. Villagers were highly enthusiastic about these sub-projects and grateful to the project for the help.
- c) Based on a number of questions on increase in irrigated area, yields, sales, and profits, etc., it was estimated that annual income of farmers had increased at least by 10% or more. Landless farmers were also expected to benefit by due to increased demand for labor and cheaper availability of food and fodder for livestock. Another key benefit of such sub-projects is the ability to minimize losses caused by uncontrolled flood waters, which could now be controlled at intake point.

4.2.2 Progress at provincial level

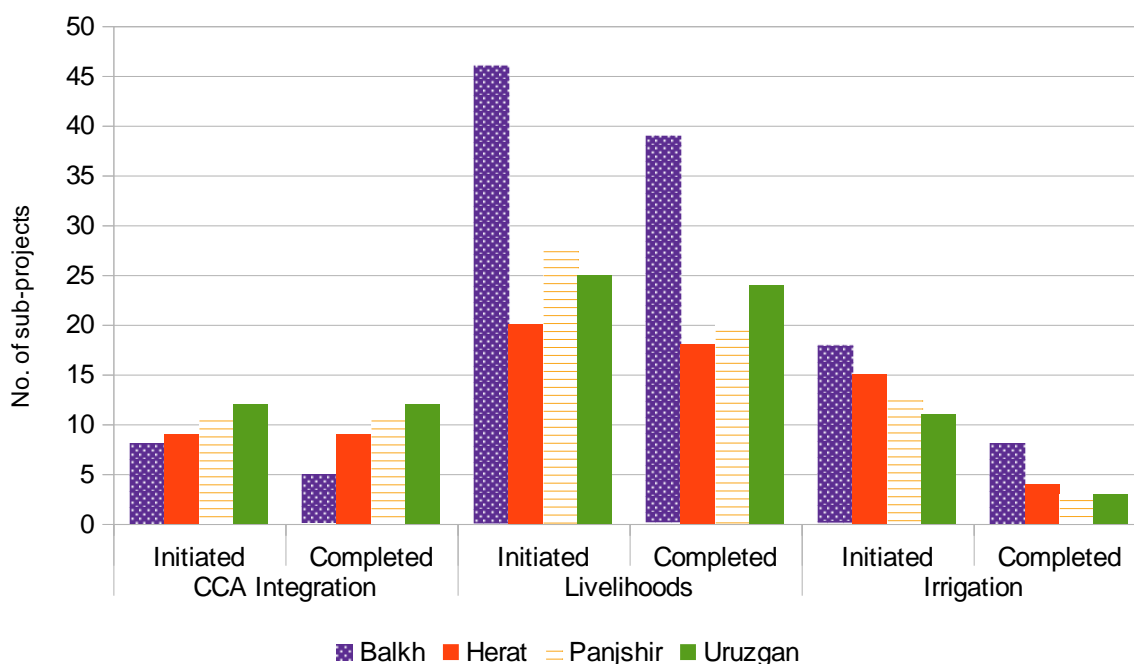
CCAP project document did not specify any output or budget targets for the project provinces. Responding to questions from participants of the CCAP Inception Workshop, UNDP-GEF RTA clarified that CCAP budget would not be distributed on equal basis; rather, the allocation of budget would be based on need in the livelihood and irrigation components and other criteria set by MAIL. Work plans presented to the Project Board are not prepared by province and progress indicators are also not reported by province. So, inter-provincial variations and differences cannot be assessed against any set criteria. The MTR team was able to visit only selected locations in three out of the four project provinces. Provincial teams shared some presentations on progress in their respective provinces, which were used to prepare a progress table on the provinces (Annex XI). Presentations did not follow exactly the same template and definitions. Therefore, the data reporting dates and indicators vary somewhat by province. The table presents only a rough picture of progress at the provincial level.

The table in Annex XI shows that the highest amount of budget (USD 1.476 million) has been spent in Balkh, almost double the amount spent in Herat or Panjshir. According to CCAP, Balkh is a relatively secure province with receptive communities and for that reason work was started early in Balkh. As shown in Figure 3 below and in the Annex XI, the highest number of sub-projects (72) were initiated in Balkh out of which 72% have been completed. Uruzgan is next province with second highest number of sub-projects initiated (48) and completed (81%). Uruzgan has been able to make this impressive progress despite persistent and serious security situation in the province, owing to receptive and proactive government officials and the provincial task team and greater need for support for the communities. Uruzgan has also initiated and completed highest number of CCA Integration sub-projects. Component-wise the highest number of sub-projects were initiated under Component 2 and this is true for all the provinces, which shows popularity of these sub-projects. However, livelihood sub-projects tend to use lesser budget and can be completed in relatively shorter time compared to irrigation infrastructure sub-projects, which may explain higher number of sub-projects under the second component. As has already been discussed, most of the pending projects fall under Component 3: Irrigation infrastructure. Balkh has the highest completion rate (44%) of the irrigation infrastructure sub-projects.

In terms of targets achieved for various output indicators, no province seems to exceed other provinces consistently. Balkh exceeds in terms of CCA integration trainees, greenhouses, SHGs, and rangeland rehabilitation. But Uruzgan exceeds in terms of highest number of livelihood skills trainees, distribution of solar dryers, and perhaps in the construction of retaining/protection walls. Every province seems to have undertaken significant work under all the components. MTR team did not have the opportunity to look at representative set of sub-projects to be able to make comparisons among the provinces in terms of efficiency and progress towards results. All the provincial task teams seemed proactive with certain strengths. Herat team was appreciated highly by various

government counterparts for the quality of their irrigation infrastructure. Balkh team has undertaken some innovative sub-projects such as solar-energy based drip irrigation scheme, rainwater harvesting, and water supply; they also supported an all-women SME, which seems to be doing very well in terms of quality and range of their food products and market demand. Uruzgan team seemed to work very successfully in close coordination with various government functionaries, etc. Participation of women in livelihood interventions seemed high in Balkh but difference with other provinces did not seem highly significant.

Figure 3: Sub-projects initiated and completed by component and province



Inter-provincial differences in terms of variety and quality of sub-projects are not pronounced. The provincial teams meet each year in Kabul to discuss progress and prepare annual plans, which is an excellent forum for sharing experiences. Besides, with the use of smartphones, internet, email, and social media, which are available to all the provincial teams, learning from experiences of various provincial teams has become much easier, leading to standardization of delivery.

4.2.3 Comparison of GEF Tracking Tool at Baseline and MTR

Climate Change Adaptation Monitoring and Assessment Tool (AMAT), also known as “GEF Tracking Tool (TT)”, for CCAP was completed on 19th December 2013 for the GEF CEO Endorsement. The TT applicable to CCAP (applicable to GEF projects approved before 1st July 2014¹⁸) was introduced in March 2011. GEF had put together a document¹⁹ to provide guidance and the AMAT Microsoft Excel spreadsheet also included some explanations for data entry. However, individual indicators and various column contents were not explained. TT was revised by GEF in October 2014 with only 14 streamlined outcome indicators and no outputs and output indicators. However, the new TT is not applicable to CCAP. CEO Endorsement version of TT included three objectives from the GEF Logframe, namely:

18 GEF, May 2014. “GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund”

19 GEF, March 2014. “Climate Change Adaptation – LDCF/SCCF Adaptation Monitoring and Assessment Tool” Document No. 48332185.

- Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level
- Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level
- Objective 3: Promote transfer and adoption of adaptation technology

CCAP included indicators only for Objective 1 and Objective 2 above, as Objective 3 was not seen applicable to CCAP. CEO Endorsement version of TT shows some conceptual issues in understanding and filling of the form. For example, target was specified for outcome indicator 1.1.1 but no corresponding output target was specified, which is necessary, as outcomes cannot be influenced without outputs. According to the structure of the AMAT form, outcome 1.1 was expected to be achieved through outputs whereby budget was allocated for development frameworks or sectoral strategies or through regulatory reform and fiscal incentives. CCAP project document did not seek to influence sectoral policies to increase budget for adaptation or bring about regulatory reforms and fiscal incentives. This irrelevance of the indicator was identified by the project team in the original logframe of the CCAP and indicator related to allocation of budget was removed from the revised logframe. Similarly, AMAT logic specified that increase in income of beneficiaries could result either from reduction in vulnerability (Outcome 1.2) or through diversification and strengthening of livelihoods (Outcome 1.3); outputs for achievement of these outcomes were specified differently. CCAP team envisaged an increase of 30% in the income of beneficiaries, which was mentioned twice under outcome 1.2 (indicator 1.2.10) and outcome 1.3 (indicator 1.3.2). Clearly, 60% increase in income (30%+30%) was not justified: Outcome 1.2 was to be influenced through physical infrastructure (protection walls, water gates, etc., Component III of CCAP) and outcome 1.3 was to be influenced through livelihood outputs (SMEs, livelihood training, etc., Component II of CCAP).

Preparation of climate change scenarios for the four provinces under Component I was not reflected in the CEO Endorsement TT. Outcome indicator 2.1.1 and output indicators 2.1.1.1 and 2.1.1.2 should have been “Yes” in the Target column. Similarly, training of government, NGOs and academia on climate change, which is part of Component I of CCAP, should have been shown in the TT by giving number of institutions in outcome indicator 2.2.1, by providing value of perception index in indicator 2.2.2 and by specifying trainee targets under output indicator 2.2.1.1. Baseline values were not well understood and only zeros were provided as baseline values. For example, outcome indicator 1.2.5 (Increase in agricultural productivity in target areas) set a target of 0.1 ton/hectare increase but in the baseline column “no increase” was entered, which should have been the per hectare production of, say, wheat, in 2013. This number is easily available from the surveys and statistical yearbooks compiled by the Central Statistical Organization (CSO). A similar error was made when specifying baseline value of 0% for outcome indicator 1.2.10, which should have been household income in the project provinces in 2013, again a value could be available for a nearby year from CSO. This value could also have been populated using a baseline survey, but no baseline survey had been planned for CCAP.

The Mid-Term TT sheet, on the other hand, contains more indicators and provides somewhat better information than the CEO Endorsement TT. Some minor discrepancies need to be taken care of, however, such as outcome indicator 1.1.1 mentions 4 Provincial Development Plans (PDPs) but the revised logframe (Annex X) targets only 3 PDPs, which needs to be corrected. Generally, gender wise data is not reported on indicators. This is partly because no field survey was planned to collect these numbers. For some indicators such as outcome indicator 1.2.4, it would be safe to assume that equal number of men and women have been provided access to drinking water, as there is no reason to believe that access to water is biased or directed towards any sex instead of an entire household. Some of the Mid-Term numbers look overly optimistic; for example, outcome indicator 1.2.5 had a target of 0.1 tons/hectare in the CEO Endorsement TT, which was increased to 0.45 in the Mid-Term

TT. According to CSO²⁰, average wheat yield in Afghanistan was 1.980 tons/hectare in 2016-17. So, the Mid-Term result translates to about 23% increase in yields, which seems to be on the higher side. This target is 10% in the revised logframe, which seems more reasonable and the achieved so far should be less than this number. Similarly, outcome indicator 1.2.8 targeted 10% increase in food production at the CEO Endorsement time; this number has been increased to 30% in the Mid-Term TT, which, again, seems excessive as a result. Outcome indicator 1.2.10 also shows increase in incomes by 30% at the Mid-Term and the same target at the CEO Endorsement time, which is not consistent with logframe outcome indicator 2.1 (aims 10% increase in income). Related to this outcome indicator, percentages for indicators 1.3.2 and 1.3.3 also need to be reconsidered. It appears that most of the numbers in the Mid-Term sheet are targets but the indicators should show results, not targets. Output indicator 1.3.1.1 shows that 70% of the households have adopted resilient livelihoods. Again, this number shows excessive achievement. Based on the consultations of the MTR team in project villages, this number may not have reached above 25%, as a number of sub-projects have just been completed or yet to be completed. Indicator 2.1.2.1 should show “Government of Afghanistan” and “UNDP” monitoring systems, as the systems, whether perfect or not, are being used to provide feedback to decision makers. Indicator 2.3.2 seems to underestimate the ownership level of adaptation process at local level: In the opinion of the MTR team, more than 50% people at provincial and community level seemed to support adaptive processes.

The Mid-Term TT sheet has included indicators for GEF Logframe 's Objective No. 3 (given above) as well, which were not included in the CEO Endorsement version. While the included indicators do seem reasonable, the Objective 3 was not mentioned in the project document and no indicator on technology transfer has been included in the revised logframe. So, perhaps indicators under the Objective 3 may be removed. The TT sheet contains an excessive number of blank lines, which should be removed, as they make it difficult to navigate the sheets and print them.

4.2.4 Remaining barriers to achievement of project objective and expansion of project benefits

- Using the lessons from LDCF1 project, Climate Change Scenarios Report, and experiences of CCAP, capacity of the MAIL staff needs to be built to be able to suggest updates to PDPs (through the Department of Economy) with CCA analysis and adaptive measures on their own.
- Agricultural and livestock extension services, as promised in component 2 of the project document, need to be standardized and systematically delivered to food processing groups, and operators of greenhouses, cold stores, and raisin rooms.
- Using the advice and lessons given in the Climate Change Scenarios Report, there is need to train MAIL agricultural extension staff of in the project provinces on advice related to drought resistant seeds, selection of crops, sowing, and harvesting seasons and practices, use of water, pest management, and other similar technical areas. This information should be systematically and consistently delivered to farmers in all the provinces of Afghanistan but specifically in the four project provinces.
- Beneficiary associations of productive irrigation infrastructure, as given in component 3 of the project document, need to be systematically trained on local water management plans, water harvesting techniques, training on operating and maintenance of irrigation, storage, and water harvesting structures, etc.
- Farmers gathered at Safar Khan Canal, Herat were planning to grow rice, as they had more water available. However, Director NEPA in Herat was of the view that people should grow those crops that use less water, as it would lead to higher overall productivity and more water available for

20 CSO, 2017. “Afghanistan Statistical Yearbook 2016-17”, pp: 183

downstream communities. Agricultural Extension advice should advise farmers on the best practices and options after taking advice from the experts.

4.3 Project Implementation and Adaptive Management

(UNDP Terminology: “Efficiency”)

MTR rating of the project implementation and adaptive management is “satisfactory”. This rating means that “Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few (especially monitoring and evaluation systems and co-financing) that are subject to remedial action. The project is quite likely to achieve progress and funds utilization targets before the closing date of the project.” The rating is based on the MTR Ratings and Achievements Summary Table (Annex IV)

4.3.1 Management Arrangements

Box 4: Evaluation Criteria – Management Arrangements

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement;
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement;
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Project management arrangements, as given in the project document, clearly designate implementing partner, Project Board, Project Management Unit, Provincial Task Teams, and project assurance. Responsibilities of the designated parties are adequately clarified. However, one area showing lack of clarity is the responsibilities of the Responsible Partners: MRRD, MoEW, and NEPA. While these agencies are represented in the Project Board, terms of collaboration with these agencies at the national and sub-national level are not described. Measures to build capacities of these agencies in CCA could have been spelled out. Each of these agencies has areas of strength where the project could formally seek collaboration. For example, MRRD is the repository of detailed data at the village level, which would help CCAP with planning and implementation process. NEPA could be formally engaged for CCA awareness creation activities and MoEW could share its technical expertise in the design of irrigation sub-projects. Questions on lack of clarity on the role of the responsible partners were raised by the representatives of the ministries in the first Project Board meeting (July 2015). Field work by the MTR team showed that some collaboration has happened with these agencies at the provincial level, it was based on personal relationships of the people concerned. There is evidence that UNDP has actively advocated sharing of information, updates, and collaboration with these partners at the provincial level, but compliance has been uneven.

4.3.1.1 Quality of execution of Executing Agency/Implementing Partner

As noted above in the previous section, the project had a bumpy start at MAIL. Elections in 2014 created uncertainty, which constrained day-to-day work of the ministries. A recruitment ban on hiring of new staff by the newly elected president of the country (31st September 2014) was the main cause of delay as the PMU had only a project manager and a senior irrigation specialist; the ban remained effective till May 2015. Another arrangement that caused confusion was that CCAP was designed to provide off-budget support to GoIRA and the CCAP contract required MAIL to open a bank account. However, the Ministry of Finance informed MAIL that line ministries were not allowed to open their own bank accounts. Hence, MAIL asked UNDP to find a way to make payments to the project using the National Implementation Modality (NIM). UNDP, after a lengthy process of

discussions and approval, agreed to make direct payments to the project on submission of invoices and reimbursement requests. MAIL should have been aware of this policy and arrangement for direct payments to CCAP should have been incorporated in the project document.

According to MAIL, at one point the Ministry considered the option of prematurely closing the project. Around this time, UNDP and Regional Technical Advisor (RTA) highlighted that the performance of the CCAP project manager was not satisfactory and he was replaced by MAIL towards the end of 2015. The incumbent Minister MAIL spent considerable time in streamlining the project in terms of staffing and operational arrangements. With a good team in place in the center and the provinces, in late 2015 the project began to show very promising progress and built momentum throughout 2016, which has been sustained till the time of the MTR. Under the leadership of the incumbent Minister who has the experience of working with the UN, MAIL has switched to programmatic approach where projects funded by different donors are sought to share resources among themselves to achieve higher level goals pursued by the Ministry. This approach is likely to increase number of projects and size of the portfolio in MAIL. However, there is some danger that implementation of CCAP may slow down as project resources are deployed to attract new funding.

Overall, PMU has a strong and dedicated team with excellent professional qualifications and highly relevant past experience of working in Afghanistan. Quality of the staffing is also very good in the provincial offices of CCAP. Key staff members are relatively younger people who are energized and motivated. Envious delivery at the ground level has led to poaching of key staff members in the provincial offices who have gone to assume important positions with other organizations. While CCAP has added to availability of talented human resource in the country, staff turnover is a major loss for the project, another factor which may affect the timely delivery and quality of the project outputs if not handled in time. An area of concern is the relationship of the CCAP provincial task team with the provincial directors of the Department of Agriculture, Irrigation, and Livestock (DAIL). Some friction between the Task Team and the directors was visible; newly transferred directors wanted to have greater say in the identification of beneficiaries, locations, and outputs of the project, which, in many cases, had already been decided. MAIL should allow the directors to voice their legitimate concerns at the national level and effort should be made to reduce resistance and enhance collaboration among the Task Teams and the provincial DAILs. Also, it was found by the MTR team that many counterparts in DRRD, DoEW, and NEPA were not well aware of the activities of the project although they accepted that updates on the project activities were often made in the Provincial Development Committee meetings, which is chaired by the Provincial Governor. Task Teams should informally socialize with the partner departments to provide mutual updates and create collaborative relationships and partnerships going beyond formal contacts. Such relationships, however, run the risk of undue influence in procurements, hiring, and other important decisions of the project, which should be managed professionally and with support from the national team at the parent ministry.

Project staff in the provinces complained about lengthy and cumbersome government procurement process. However, Kabul team had shared that the procurement process was lengthier in the beginning of the project when final approval of procurements was given by Kabul; now, the procurement process is fully devolved to the provinces. Public Procurement Law (PPL) was promulgated in Afghanistan in 2008²¹ to streamline the procurement process for public entities, which had been a public auction system in the past. Under support from World Bank a project was started by GoIRA to build capacity of each procurement entity at national and sub-national level. The capacity building process has been slow and sub-national level procurement capacity is still very

²¹ <http://www.ippa.org/IPPC5/Proceedings/Part7/PAPER7-5.pdf>

limited. Governor office is the coordinator of procurement at the sub-national level. A detailed Procurement Manual has been prepared by the Ministry of Finance in Dari language to guide procurement entities about the process²². While the PPL strives to establish transparency in procurement, involvement of a large number of members in procurement committees and lengthy procedural requirements are a burden for projects where fast pace and flexibility is the key for timely achievement of targets.

Results-chain logic of the new logframe needs to be fully reflected in work plans and reports. There is a need to focus on outcomes.

4.3.1.2 Quality of support provided by UNDP and UNDP-GEF RTA

At the start of the project, UNDP had to push hard with MAIL to kick start the project. As noted above, executive and legal restrictions delayed the project. While the project is implemented under the NIM arrangement, financial management had to be setup like DIM arrangement, as explained above. Project management had limited capacity to understand climate change. UNDP arranged a number of training sessions to familiarize the staff with the concepts of climate change and to explain arrangements given in the project document. Given less than satisfactory performance of the first project manager, UNDP had to shoulder some of the capacity building responsibility for the project. In the first year, there were complaints in the Project Board meetings from representatives of the responsible ministries about inadequate coordination by the project task teams at the provincial level. UNDP setup a monitoring system to ensure that coordination takes place. Starting from 2016, participants of Project Board meetings began to appreciate coordinated and streamlined efforts of the project teams.

UNDP is working very closely with the implementing partner and other stakeholders and ensuring transparency and good quality of work. Project Board meetings could not be held in the first year. . First Project Board meeting was held in July 2015 to approve annual work plan and budget, human resource plan, and procurement plan after the incumbent Minister MAIL took charge of the ministry. Templates for the plans have been provided by UNDP. While the core members of the Project Board have remained unchanged, UNDP has been inviting a number of other stakeholders related to CCA to promote ownership and partnerships, and generate a productive dialogue. Such stakeholders have included representatives of UN agencies, academia, NGOs, technical experts of MAIL, etc. By the time of the third Board meeting in August 2016, stakeholders were very appreciative of the progress made by the project. Representatives of MRRD, NEPA, UNEP, WFP, Afghanistan National Disaster Management Authority (ANDMA) and Kabul University made comments and queries which helped the project move forward in a collaborative manner. MoEW, however, has generally been absent from the Board meetings and a representative of the ministry could not be available for comments despite repeated requests for interview by the MTR team.

UNDP and CCAP need to make sure that the Project Board meets twice in a year during the remaining period and provides guidance to the project team on enhancing outcomes and impact, ensuring documentation and dissemination of lessons learned and impact, devising and implementing an exit strategy in time, and helping the project sell its achievement for replication and resource mobilization.

22

http://www.npa.gov.af/Public/files/PDFDari/ProcRulesofProcedures/ProcRulesofProcedures_Dari_01.pdf

UNDP Livelihood Unit was satisfied with the support received and flexibility shown by the UNDP-GEF Regional Technical Advisor based in Bangkok. The incumbent RTA took charge in 2015 and had to pay more attention to the management of the project in the beginning. He visited Afghanistan in September 2016 to conduct field visits of the project, which were cancelled as security clearance could not be granted to him. The RTA looks after 12 projects in the region and is generally satisfied with the current progress of the project. However, he was of the opinion that the logframe did not depict real picture of the progress of the project and needed an independent review. He was generally satisfied with the Project Implementation Reports (PIRs) but had a concern whether the reported numbers were matched by real progress on ground. One key area where UNDP needs to support the project is recruitment of M&E Specialist, as provided in the project document, collection of data and calculation of baseline values of outcome and impact (objective) indicators on urgent basis, and reporting on and documentation of outcomes, impact, lessons learned, and best practices.

4.3.1.3 Gender and project implementation

As noted in the Project Design section of this report, a number of gender issues were identified in the project document and appropriate measures were suggested to address those issues. One of the identified issues was to provide them adequate representation in implementation and management. MTR team found that one of the members of the Project Board is a woman and women from various organizations have been regularly invited in the Project Board meetings to allow them to voice their concerns. UNDP Afghanistan is supported by a Gender Unit to ensure that gender issues are adequately address in programming and operations activities of UNDP. UNDP Livelihoods and Resilience Unit itself is headed by a woman. UNDP staff has adequate training to ensure that projects adequately address gender issues both in design and implementation. CCAP team hired by the implementing partner comprised a female Head of Finance and a female Head of Human Resources. All community mobilizers in the provinces were females. UNDP and CCAP have actively promoted participation of women in project implementation within the limits of social and religious context of Afghanistan. CCAP made several attempts to hire female staff for other positions in the provinces but did not have much success. Even retaining good female community mobilizers in the provincial teams has been a challenge due to scarcity of trained women compared to demand.

Progress reports of the project show that women were given priority in selections for trainings on climate change, livelihood skills, and enterprise development, etc. The participant women came from government, communities, and universities. With support from provincial Departments of Women Affairs, women were organized into SHGs for mutual support and to give them voice and implement several livelihood activities through them. Based on consultations with women groups, the MTR team assessed that women do need help from the project staff in establishing market linkages and accessing inputs, supplies, and raw materials for their livelihood enterprises.

Impact of the project on women has been covered by component in the Progress Towards Results section. No negative impact of the project on women was identified by the MTR team.

4.3.2 Work planning

Box 5: Evaluation Criteria – Work Planning

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved;
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results;
- Examine the use of the project's results framework/ log-frame as a management tool and review any changes made to it since project start.

Delays in project start-up, relevant causes, and resolutions have already been discussed under heading 2.3.1.1 and 2.4.1 above. Use of the results framework/logframe has already been discussed under heading 2.2 above. According to feedback from UNDP, key staff from all the four project provinces participates in annual work planning and budgeting exercise. UNDP actively contributes to the planning process to ensure quality of the process and alignment with the results of the project.

Annual plans should show baseline, cumulative target (since commencement of the project till the last year), cumulative progress, target for the planning year, division of targets by quarter or depiction of activities by a Gantt chart bar, and responsible party, which should also include stakeholders other than MAIL, as it may help with coordination and collaboration. Another separate table should show cumulative targets, cumulative progress, and planning year target by province. The current work plan is essentially a budget approval document. As the component budgets are given in terms of inputs (consultant, equipment, etc.), output indicators cannot be related to the budget given in the last columns of work plans presented to the Project Board. When presenting targets for output indicator, previous cumulative budget and spending on the component, and the planning year budget should be presented, as it will a good measure of progress ability of the project to achieve the planning year target. Monitoring and evaluation activities (process indicators) and outputs should be clearly mentioned in the work plan even if such targets are not given in the revised logframe. Monitoring and evaluation budget should be shown separately in the budget.

Input based budget by component (not by output indicators) may still be presented to the Board in a small table where stub shows inputs and columns show components of CCAP. This manner of work planning and budgeting will promote cost effective or results based work planning. In the current form, it is very difficult to assess cost-effectiveness of outputs of the project, which is an important competitive concern. A good discussion on the topic, for further information, can be seen at . Current format of the work plan is geared towards getting approval of the Board and does not directly promote accountability and decision support. The Project Board needs to focus both on achieving targets and enhancing benefits from the use of investments already made.

Work plan presentations should present findings and implications of process and outcome based monitoring reports by the project and UNDP. Also, the presentation should also briefly include some description of the risks likely to be faced over the planning years and ways to manage those risks. Approved and disaggregated work plan documents should be shared with the representatives of the member ministries and authorities of the Board, to sub-national offices of the ministries and authorities, and be available to all the project staff.

4.3.3 Finance and co-finance

Box 6: Evaluation Criteria – Finance and co-finance

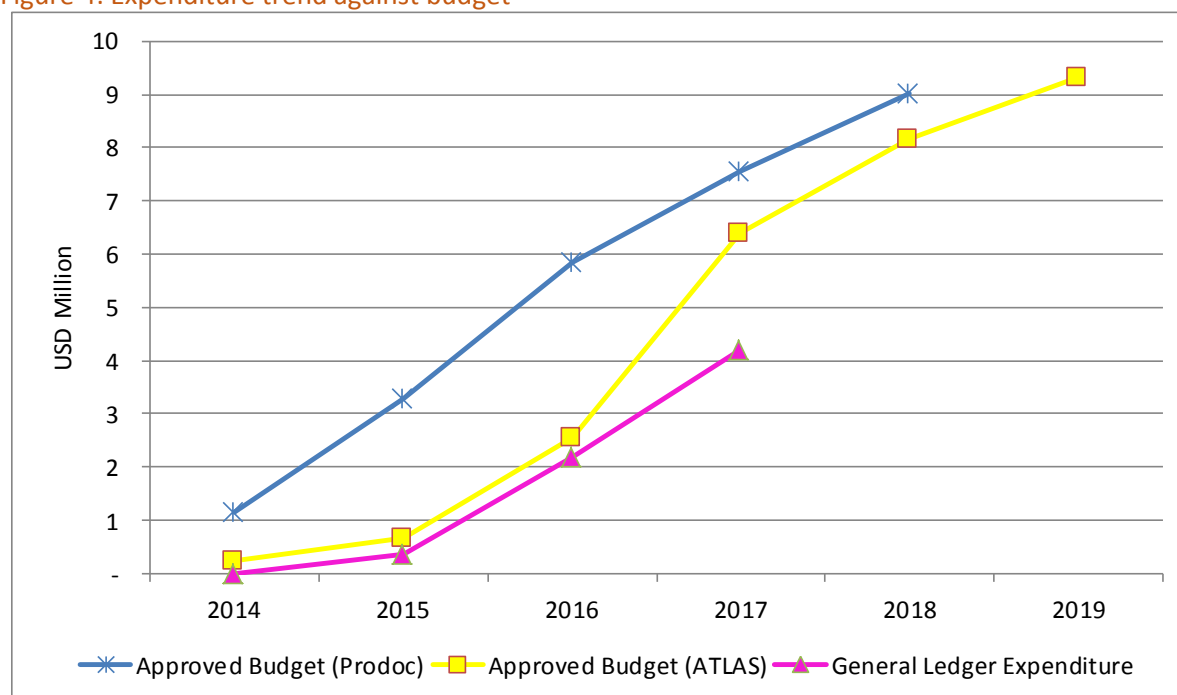
- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions;
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions;
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds;
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: Is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans.

4.3.3.1 Budget, expenditure, delivery and trends

As has been noted earlier, project faced a slow start due to general elections, recruitment bans; funds transfer arrangements, and human resource issues. But late in 2015, the project implementation began to speed up, which is reflected in the expenditure trends (Figure 3). Figure 3 shows that project expenditure has been lower than the annual amounts allocated in the project document but very close to the annual budgets recorded in ATLAS (Project Management Module in UNDP's Enterprise Resource Planning system). Expenditure for 2017 is on target as the numbers show achievement only as of June 2017 (mid-year). With the current speedy pace of implementation of a number of irrigation infrastructure projects, it is expected that the project will be able to spend the entire budget by the closing date.

Table 1 below shows budget and expenditure by component and donor. The table shows that half of the budget (50%) has been spent as of June 2017. Highest delivery rate (81%) against the total budget is in component 2 and lowest delivery rate (34%) is component 3, which is also the most budget-heavy component. A little less than half of the money allocated for component 1 and project management has been spent. During the period under review (2014-mid-2017), expenditure of component 2 exceeded the cumulative budget for the period by about 0.2 million dollars. This has happened because livelihood interventions can be implemented in shorter periods than the infrastructure. The variance is minor and does not exceed the total budget allocated for the component in the project document. UNDP contributed another USD 0.4 million to the project budget in 2016, increasing the total project budget from USD 10 million to USD 10.4 million. As of the MTR date, expenditure against UNDP contribution is 66% and expenditure against LDCF contribution is 47%.

Figure 4: Expenditure trend against budget



Source: CCAP PIR 2017

Table 1: CCAP budget, expenditure, and delivery rate

(US Dollars)

SOF/Outcome/Atlas Activity	Donor	Total Budget 2014-2019	Allocated Budget 2014-17	Expenditure 2014-17 as of 30 June-17	Variance 2014-17 as of 30 Jun-17	Cumulative Delivery Rate (2014-17)	Overall Delivery Rate (2014-17)
		(a)	(b)	(c)	(b) - (c)	(c) / (b)	(c) / (a)
Outcome 1: CCA Integration	UNDP	140,500	137,297	142,490	(5,193)	104%	101%
	LDCF	1,312,000	1,015,767	531,967	483,801	52%	41%
	Total	1,452,500	1,153,064	674,456	478,608	58%	46%
Outcome2: Income and Livelihood	UNDP	293,000	245,869	227,165	18,704	92%	78%
	LDCF	2,640,000	1,959,023	2,160,305	(201,282)	110%	82%
	Total	2,933,000	2,204,893	2,387,470	(182,578)	108%	81%
Outcome3: Productive Irrigation Infrastructure	UNDP	516,500	289,859	267,677	22,182	92%	52%
	LDCF	4,521,500	3,271,721	1,462,840	1,808,881	45%	32%
	Total	5,038,000	3,561,581	1,730,517	1,831,064	49%	34%
Monitoring, Learning and Evaluation	LDCF	101,500	52,500	9,850	42,650	19%	10%
	Total	101,500	52,500	9,850	42,650	19%	10%
Project Management	UNDP	450,000	314,005	292,846	21,159	93%	65%
	LDCF	425,000	158,730	75,637	83,093	48%	18%
	Total	875,000	472,735	368,483	104,252	78%	42%
	Grand Total	10,400,000	7,444,772	5,170,776	2,273,996	69%	50%
UNDP	12	1,400,000	987,030	930,177	56,853	94%	66%
LDCF	10003	9,000,000	6,457,742	4,240,599	2,217,143	66%	47%

Source: UNDP Afghanistan

Table 2 below shows allocation of budget and expenditure by province. Kabul office has spent most of the budget allocated to it during 2014-2017. The Balkh province was allocated somewhat more budget than other provinces and also shows the highest delivery rate (84%) against the allocated budget for the period 2014-2017. Uruzgan is the next in terms of budget allocation and delivery rate, which is remarkable given almost perpetual security issues in the province. Herat and Panjshir were allocated almost equivalent budget and show similar delivery rate. Project document did not allocate specific amounts of budget to provinces, as the allocation was kept flexible to allow response to changing circumstances in terms of security situation and other challenges. However, for the sake of analysis, the table below constructed a hypothetical scenario (last three columns) where provinces have been allocated equal budget to see delivery performance. The scenario shows that Balkh has spent three-fourth of its hypothetical budget and Herat and Panjshir have spent only one-third of their hypothetical budgets. Clearly, if provinces have to get equal budgets then Panjshir and Herat need higher priority from the project management.

Table 2: CCAP budget, expenditure, and delivery rate by province

(US Dollars)

Province	2014-2017			2014-2019		
	Allocated Budget	Expenditure as of June 2017	Delivery Rate	Total Budget	Expenditure as of June 2017	Delivery Rate
Kabul	1,141,455	1,057,071	93%	2,400,000	1,057,071	44%
Balkh	1,751,632	1,476,219	84%	2,000,000*	1,476,219	74%
Uruzgan	1,655,610	1,115,630	67%	2,000,000	1,115,630	56%
Herat	1,311,062	764,393	58%	2,000,000	764,393	38%
Panjshir	1,153,120	695,375	60%	2,000,000	695,375	35%
Total	7,012,879	5,108,687	73%	10,400,000	5,108,687	49%

Source: CCAP

* Numbers shown for provincial budget are assumed values to understand performance in a hypothetical scenario of same allocation of budget to each province. The numbers do not reflect real allocation, which has been kept flexible.

It was difficult to assess cost-effectiveness of project outputs, as costs are not available by outputs; budget is prepared, allocated, and reported by inputs. As invoices and reimbursement requests go through UNDP for payment, UNDP keeps a close eye on the costs of inputs, which is likely to contribute to cost effectiveness. Procurement arrangements under the Public Procurement Law, related institutional arrangements, and well defined rules for procurement are expected to lead to cost effective or “best price” procurements. Project’s engineering staff in Panjshir was of the view that cost of the outputs of the project is somewhat higher than the cost incurred by other public entities such MoEW, but the quality of the outputs was much better and more than justified the cost. This stance was fully supported by the direct observations of the MTR team and views of the villagers in Herat and Balkh who told that the public infrastructure built by many government departments had been seriously damaged by floods during the last year while the infrastructure constructed by CCAP was fully intact. The community expected that the construction work of the project was likely to remain in good working condition for at least the next 10 years.

4.3.3.2 Budget revision and reallocation

As of the MTR time, budget of the project has not been revised or reallocated. However, there has been a suggestion since 2016 to reallocate budget for SMEs support (component 2) to irrigation infrastructure (component 3). Proposed monitoring and evaluation outputs and activities also require that more budgets be allocated for Learning, Monitoring, and Evaluation.

4.3.3.3 Financial controls

To manage fiduciary risk effectively, UNDP, UNICEF, UNFPA, and WFP adopted the Harmonized Approach to Cash Transfer (HACT) Framework in 2005 as a result of a UN General Assembly Resolution. The Framework was revised in February 2014²³. HACT is a risk-based management approach; risk is managed by agreeing principles and implementation processes among the funding agencies and implementing partners for transfer, management, reporting, and accountability of cash. The objective of the HACT framework is to support a closer alignment of development aid with national priorities and to strengthen national capacities for management and accountability, with the ultimate objective of gradually shifting to national systems. The HACT framework represents a shift from assurance for cash transfers derived from project level controls and audits towards a method of assurance derived from risk/system-based assessments and audits. The HACT framework applies to UNDP, UNFPA and UNICEF in all situations, including in emergency, crisis and post-conflict countries. As part of the HACT Framework, UNDP conducted a Micro-Assessment of MAIL in late 2015 to assess risks and their capacity for financial management. The Micro-Assessment highlighted a number of high risks (funds flow, accounting policies and procedures, external audit, information systems) and significant risks (implementing partner, organizational structure and staffing, internal audit, reporting and monitoring) areas with overall assessment of risk as “Significant²⁴”. Based on the Assessment, it was decided that cash transfer modalities will be “Direct payments” and “Reimbursements” as defined in the HACT Framework. Under “Direct Payment” modality expenditure is incurred by MAIL but payment is made by UNDP directly after submission of required documentation by MAIL. Under “Reimbursement” modality expenditure is incurred by MAIL and paid by MAIL and later on the same is reimbursed by UNDP to MAIL on submission of claims. Some petty cash is also transferred by UNDP to MAIL.

As part of the annual assurance process, UNDP hired independent auditors to review the financial management of CCAP. External audit was carried out for financial years 2015 and 2016; both reports were unqualified. However, 2015 report highlighted a number of medium risk issues: Missing records of staff recruitment process, misalignment of salaries with the National Technical Assistance Remuneration Policy, unjustified and rapid increases in salary of the project manager, maintenance of books of accounts in Microsoft Excel, and insufficient petty cash controls. Management responses to these issues were satisfactory in some cases and not satisfactory in other cases. As the process for implementation of HACT Framework started in late 2015 and continued in 2016, significant improvements seem to have happened in the financial management processes and internal controls of CCAP. The project has now completely switched to QuickBooksPro accounting software for maintenance of books of accounts. CCAP now follows the “Treasury Accounting Manual (V1.26)”, published by Treasury Department of the Ministry of the Finance, GoIRA, which documents the financial policies and procedures and systems of the government. The Manual is very well written and provides adequate guidance and controls on budget execution and control, accounting for revenues and expenditures, petty cash, assets and inventory, reporting, reconciliation, and closing of books. An internal auditor has been hired to ensure alignment with financial management policies and procedures. External Audit report 2016 reflects these positive changes where fewer observations were made for management response.

23 [https://popp.undp.org/UNDP_POPP_DOCUMENT_LIBRARY/Public/FRM_Financial%20Management%20and%20Implementation%20Modalities%20_Harmonized%20Approach%20to%20Cash%20Transfers%20\(HACT\).docx](https://popp.undp.org/UNDP_POPP_DOCUMENT_LIBRARY/Public/FRM_Financial%20Management%20and%20Implementation%20Modalities%20_Harmonized%20Approach%20to%20Cash%20Transfers%20(HACT).docx).

24 “Significant risk – Indicates an underdeveloped financial management system or control framework with a significant likelihood of negative impact on the IP’s ability to execute the programme in accordance with the work plan”. UNDP 2014, HACT Framework, page 20.

Project staff often complained about 3-4 weeks delay by UNDP in the release of payments on invoices and reimbursement requests after submission of documents. Program Finance Analyst in UNDP was of the view that payment requests often do not provide all required documents, which delays payments. Another reason for the delay in payments was mandatory Vendor registration in UNDP financial systems even for small payments. Project staff complained that quite often they do not get email notification when a payment is released by UNDP to a vendor, which results in angry calls by vendors. While MTR team did not have time to fully analyze this issue, it was clear that payments by UNDP were somewhat delayed and were creating dissatisfaction among vendors and suppliers. UNDP had planned to hire a Finance Officer to be based in CCAP office with access to UNDP financial systems back in March 2017. The hiring process has taken longer and appointment of the Finance Officer is still awaited. Basing the UNDP Finance Officer in CCAP office is likely to reduce issues related to dispatch of documents, matching of entries in the financial systems of UNDP and CCAP, reduction in vendor registration time, and improved access to information on status of processing and payments.

It is evident that capacity of CCAP and MAIL has been built to some extent in streamlining financial management after the introduction of HACT Framework and the process is still going on. It is also apparent that the capacity building and reduction in fiduciary risk have come at a cost in terms of speed of delivery. However, the MTR team has assessed that the implementation of the HACT Framework has resulted in reduced fiduciary risk and enhanced quality of project implementation at an acceptable cost in terms of slowing down of the project. The project seems well on target to achieve full utilization of funds by or before the project closing date. Full implementation of the HACT Framework will help MAIL and UNDP in faster implementation with lower risk in case of other partnership projects such as LDCF4 and other joint initiatives.

4.3.3.4 Co-financing

At the time of CEO Endorsement of CCAP, it was estimate that the project will be able to leverage a co-financing of USD 103 million, including USD 1 million from UNDP (Table 3). The project document does not provide any details about the leveraged amounts from different sources. Single largest co-financing amount (USD 70 million) in the CCA area was expected to be leveraged through the United States Agency for International Development (USAID) who had shared some communication to this effect with UNDP. However, soon afterwards, UNDP was informed by USAID through a letter that the intended proposal for CCA related funding to Afghanistan had been cancelled. UNDP committed an additional USD 0.4 million later to the project, making its total contribution as USD 1.4 million. Government of Afghanistan has made in-kind contribution in the form of premises, MAIL facilities, staff, technical expertise, corporate overhead services such as time dedicated by executive and senior staff, etc. It is expected that half of the USD 2 million in-kind contribution has been realized till the MTR.

UNDP has been meeting CCA and DRR stakeholders such as NEPA, UNEP, various ministries, ANDMA, NGOs, academia, etc. on regular basis for collaboration and coordination. UNDP, however, accepted that it needed to meet various funding agencies more frequently such as World Bank, Asian Development, etc. who could contribute more funds towards climate change adaptation in Afghanistan.

Table 3: Co-financing table at the stage of the Mid-Term Review

Source of Co-Financing ²⁵	Name of Co-financer	Type of Co-financing ²⁶	Amount Confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at Stage of Mid-Term Review (US\$)	Actual % of Expected Amount
Cash Co-Financing	UNDP	Cash	1,000,000	1,400,000	140%
Cash through various MAIL projects	MAIL	Cash	30,000,000	10,000,000	33%-
In-kind contribution MAIL	MAIL	In-kind	2,000,000	1,000,000	100%
Cash co-financing USAID	USAID	Investment	70,000,000	The project was canceled by USAID.	-
Total			103,000,000	2,400,000	2.33%

Source: UNDP and CCAP

4.3.4 Project-level monitoring and evaluation systems

Box 7: Evaluation Criteria – Project-level Monitoring and Evaluation Systems

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive;
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

CCAP uses the following monitoring tools at the moment:

- Inception workshop
- Annual work plans and budgets (already covered above)
- Site visits.
- Quarterly Progress Reports and Annual Project Reviews
- Annual Project Implementation Reviews (APR/PIR)
- Adaptation Monitoring and Tracking Tool (AMAT) or GEF Tracking Tool
- ATLAS Risk Log

4.3.4.1 Inception workshop

²⁵ Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other

²⁶ Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other

CCAP was expected to hold inception workshop soon after initiation of the project. However, the workshop was delayed due to political and other factors documented above. A one-day workshop was held on 11th January 2015 with 74 participants from MAIL, UNDP, UNDP RTA, provincial MAIL offices, MRRD, NEPA, FAO, and several other government agencies. NEPA and UNDP introduced the climate change project to the participants. The workshop introduced the project team, goals and objectives of the project, management arrangements, project outcomes, indicators, and monitoring and evaluation arrangements, and the first annual work plan of the project. Most of the comments that the participants made were related to clarification of the design of the project and implementation arrangements. Coordination among various government ministries and departments was stressed. Most of the comments were adequately clarified by MAIL and UNDP.

Inception workshop was attended by several women including a gender specialist. However, no gender related issue was raised by the project or the participants. Introductory presentations on the project perhaps discussed measures to reach women through interventions and activities.

4.3.4.2 Site or field visits

Site visits are an important monitoring tool for spot checks, output, process, and outcome monitoring. Site visits are frequently undertaken by senior staff of the project for managerial inputs, supervision, spot checks, and output monitoring. However, the CCAP team was not able to produce a single field visit report from results monitoring perspective. UNDP shared two field visit reports which covered both output and outcome monitoring aspects. As noted earlier, UNDP-GEF RTA also tried to visit project sites in provinces but he was permitted to go beyond Kabul due to security reasons. At this stage, project has invested considerably in the provision of a number of products and services, which require outcome level monitoring to check accessibility, usage, participation, durability, quality, operation and maintenance, improvement in capacity, awareness, and income, equity, sustainability, and accountability aspects etc., so that project management can provide necessary support based on the feedback from users and stakeholders. UNDP would also be able to play its assurance role better if such feedback is regularly received. Project should hire the Monitoring & Evaluation (M&E) Specialist, as was provided in the project document, on urgent basis to play this role and help with documentation of outcomes and impact. Number of field visits by key project staff should be one of the process indicators in the AWP.

4.3.4.3 Quarterly and Annual Progress Reports

Progress information against the indicators included in the annual work plans is reported by the provincial staff to the CCAP head office using email and Microsoft Excel sheets. Data is consolidated in Excel at the project level. Progress report is partly prepared by CCAP and partly by a consultant engaged by UNDP for this purpose. Progress reports cover progress by component, featured stories, partnerships, expenditure tables, and issues and risk logs. Progress reports include some process indicators that are not part of the logframe, which is an excellent addition, as these indicators are very helpful in managing performance. CCAP should consider making these indicators part of the revised logframe. Recent reports are generally well written and well presented. Reports provide useful information about outputs and beneficiaries of the outputs. However, the reports need to present progress both for the period under review and cumulative for the previous years. While achievements are at times shown by provinces as well, data tables should show targets and achievements separately for provinces, as provincial contexts are different and the Project Board needs to be aware of the provincial situation. While success stories are regularly included in the progress reports, they present anecdotal evidence, which should be complemented with the findings of spot checks, process monitoring, and outcome monitoring reports (please see Chapter 4 of UNDP

PME Handbook²⁷ for more details), by the project staff, especially by the Monitoring & Evaluation Specialist. While current financial tables may remain there, new tables showing expenditure by component for the review period and also for the prior years (cumulative) with delivery rates should be shown, as it will help assess output achievements against the resources. Similarly, expenditure may also be shown by province to inform about performance at the provincial level.

Progress reporting should be one of the main responsibilities of the M&E Specialist. This will help the project align its work with broader outcomes of the project and will build capacity of the staff on Results Based Management (RBM).

4.3.4.4 Project implementation reviews

PIRs are structured implementation reports to meet the requirements of UNDP and GEF. These reports provide rating on progress and implementers, updates on progress against outcomes and outputs, expenditure to-date, gender, communication of impact, partnerships, and grievances. UNDP-GEF RTA office had shown satisfaction with the timing and content of the report. MTR team assessed that reports provide realistic, relevant, and fairly detailed account of the status of the project. The only area needing improvement is reporting against outcomes; the improvement is needed partly because many of the objective and outcome level indicators were not SMART and did not clearly represent the outcomes of the project, which made it difficult to report on progress towards the outcomes. Another reason for improvement is that project did not conduct a baseline survey, without which it is difficult to establish benchmarks against which progress should be measured. Monitoring and Evaluation Specialist, as provided in the project document, was not hired who could have provided more evidence on the outcomes.

4.3.4.5 Project Issues and Risk Logs

Project risks are adequately monitored by reviewing the situation and responding to the challenges in the APRs and PIRs. One issue that has echoed in several progress reports (APR 2016) is slow payments to contractors and community development councils. According to APR 2016, efforts to improve communication between UNDP and CCAP were undertaken to rectify the situation but the issue has again been raised by several provincial offices and head office of CCAP with the MTR team. While due diligence by UNDP is justified in the context of Afghanistan, UNDP should prioritize hiring and deputation of Finance Officer in the CCAP office to expedite the payments.

4.3.4.6 Technical Assistance on Reporting and Communication

During the second half of 2016, UNDP Livelihoods and Resilience Unit hired an International Consultant (Reporting and Communication) for about six months to assist the Unit in preparing project documents and reports for four projects, one of which was CCAP. According to the terms of reference, the consultant was responsible for overseeing all the reports through the complete editorial process. For CCAP, the consultant was tasked with the formulation and finalization of 1st, 2nd, 3rd Quarterly Progress Report, GEF Specific 2016 Project Implementation Review Report, and UNDP Project Annual Report 2016.

The MTR team reviewed all the quarterly reports, annual report, and the implementation review report prepared by the consultant. The reports were found to be of high quality in terms of coverage of all the important aspects of the project implementation and results. The reports adequately cover

27

<http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>

the implementation process, planning, human resources, gender, partnerships, issues, risks, and budget utilization, etc. In terms of results, the reports provide updated information against the logframe and the annual work plan indicators, which are supplemented with views of the communities, success stories, and pictures. Immediate and intermediate outcomes could have been covered better but that required monitoring visits of the project areas and some kind of statistical data collection at the community level, which was not part of the terms of reference of the consultant. Reports were very well presented and visually appealing in terms of formatting, sequencing, colors, and use of graphics.

MRRD, NEPA, and MAIL members of the Project Board showed satisfaction with the timing and quality of the recent progress reports, which were prepared by the consultant. A presentation on Results Based Management (RBM) prepared by the consultant for the CCAP project staff was seen by the MTR team and it was found to contain some essential concepts of the RBM approach. Performance of the consultant was also appreciated by the CCAP project staff.

4.3.5 Stakeholder engagement

Box 8: Evaluation Criteria – Stakeholder engagement

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders;
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation;
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives.

4.3.5.1 Partnerships and country drivenness

Annex IV in the project document outlined the objectives of stakeholder engagement, identified a broad spectrum of stakeholders, and listed activities by outcome where stakeholder could be or would be involved. As has been noted earlier in the Strategy section above, national, international, sub-national and local stakeholders were widely consulted in the preparation of the project design. For project implementation, the project document sought to establish a two-way engagement between MAIL and NEPA, MoEW, MRRD, provincial and district governors, government institutions at sub-national level, DDAs, CDCs, farmers cooperatives and associations, villagers, International Center for Integrated Mountain Development (ICIMOD), international donors (USAID, ADB, DFID, AusAID, KOICA, World Bank), FAO, WFP, UNHCR, UNOCHA, UNEP, NGOs (ACTED, CARE International) and private sector, Afghanistan Chamber of Commerce and Industries (ACCI).

CCAP has established active and productive partnerships with NEPA, MRRD, MoEW, and UNDP who are actively engaged in advising the project on various implementation issues through the Project Board and through informal interaction. The project is driven by professional and energetic leadership from MAIL and CCAP team. NEPA had provided trainers for trainings to create awareness on CCA. MRRD was sharing CDC and DDA level information and technical expertise to help the project with planning and implementation. Relationship had been built with ANDMA to coordinate on disaster risk reduction activities undertaken by the project. Various provincial level consultations showed that CCAP and DAIL were regularly updating the provincial governors and other provincial stakeholders on the plans, activities, and performance of the project. Community level consultations showed that project staff had good working relationships with relevant DDAs, CDCs, Water User Associations (WUAs) and *kuchis* (pastoralists). Partnership with ICIMOD did not materialize, however.

The Minister MAIL had informed in consultations that MAIL was in consultations with a number of donors including World Bank to get more funds for CCA while selling CCAP as an example of successful adaptation. UNEP, FAO, and WFP are actively engaged with MAIL for policy formulation, irrigation improvements, and food security, etc. Project links with NGOs were not very clear though discussions pointed out that NGOs such as Focus Humanitarian Assistance and ACTED were consulted on DRR activities and some of their guidelines were used to inform DRR activities of the project. Links with private sector have not been established. However, project procurements, quality monitoring, and reliance on a local firm to prepare climate change scenarios have helped build capacity of local contractors and consulting organizations.

4.3.5.2 Stakeholder engagement and progress towards project objective

As already pointed out, CCAP has benefitted from partnership with NEPA by getting advice on CCA training workshop content. UNEP-NEPA-MAIL partnership resulted in the formulation of National Natural Resource Management Strategy (2017-2021) Afghanistan, which clearly mentions CCA as one of the key issues facing Afghanistan. NEPA also monitors CCAP activities and provides feedback; one such mission from NEPA was present in Panjshir when the MTR team visited the province.

Provincial governors' offices, district development assemblies, farmers' cooperatives, and community development councils have been actively engaged in selecting location of project interventions, short-listing of beneficiaries of various interventions and monitoring of activities such as construction activities. Help was received from governor's office when conflict arose among community members. CDCs in some cases were engaged as implementing partners for civil works such as construction of cold stores. Generally speaking, CDCs implement sub-projects slower than private contractors but quality of the work tend to be better though the experience varies from place to place. Women beneficiaries of SHGs for livelihood activities were mostly nominated by CDCs. CDCs have been made aware of the objectives of the project to help the vulnerable populations and women and CDCs are generally playing this role very well. Ministry of Women Affairs was also involved at the provincial and district level to identify female beneficiaries and their needs.

CCAP and WFP had an excellent partnership in Khulm District, Balkh Province where WFP had built water reservoirs to irrigation about 16,000 plantations on arid hill slopes around Khulm town. CCAP provided support by installing a large water pump that works on solar cells and pump water up on the hills to three water reservoirs. CCAP also helped by installing drip irrigation system that takes water from the reservoirs and waters the plants. CCAP and WFP plan to have similar partnerships in other provinces where both agencies are working.

CCAP works with Small Grants Programme of UNDP to jointly enhance capacities of civil society organizations and local communities. CCAP provided training on climate change risk and vulnerability to a number of NGOs including Focus Humanitarian Assistance, Afghan Aid, Care International and a number of civil society organizations working on energy and environment issues. CCAP had engaged interns from local universities to familiarize them with the concept of CCA in action and help collect data for the project at the local level.

Active participation by all the stakeholders has led to strong ownership of the project by the country. Without participation, support, and feedback from various stakeholders, the project would not have been able to make significant progress towards the project objective and outcomes. The team spirit created by CCAP and Project Board has led to positive feelings among the stakeholders and has contributed to creating peace and stability in the country, which will help the project in smooth implementation over its remaining period.

4.3.6 Reporting

Box 9: Evaluation Criteria – Reporting

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board;
- Assess how well the Project Team and partners undertake and fulfill GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?);
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Annual Work Plans and Budgets have been prepared in conformity with UNDP guidelines. Various progress reports produced by the project adequately cover project activities, processes, outputs, stakeholder engagement, partnerships, issues, and risks, etc. Some changes have been proposed in the work plans and reports in the preceding sections, which will enhance performance measurement and management and bring greater orientation towards intended outcomes. Project Board meeting minutes do not document any dissatisfaction with the reporting. Board members in interviews showed satisfaction with the timing and quality of the reporting. UNDP-GEF RTA also expressed satisfaction with the PIRs and PIRs have not been rated poor.

Some operational lessons learned have been documented in QPRs, APR, and PIRs, such as community disputes, delays in payment, delays due to natural disasters, etc. However, broader, lessons related to strategy, targeting, partnerships, outcomes, product development, impact, etc. have not been documented. This has happened because project did not plan any technical or thematic evaluation, user survey, case study, research study, etc., which could have provided rigorous analysis of lessons learned or best practices. Hiring of M&E Specialist at the project start could also have led to documentation of some lessons through process and outcome monitoring field visits.

4.3.7 Communications

Box 10: Evaluation Criteria – Communications

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?);
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

MTR team noted in interviews that CCAP and UNDP were termed as “open” and “welcoming” in terms of availability for communication and dialogue and willingness to provide project related information. MAIL considers CCAP as its flagship/vanguard project despite its small size compared to many other projects implemented by the ministry. The Minister MAIL is proactive in sharing progress and achievements of this project at executive levels of the government. Programme Director and Project Manager of CCAP at MAIL communicate about the project with a number of stakeholders

including ministries and provincial governors. Provincial staff of the project, however, needs to be a bit more proactive in communicating progress, achievements, lessons, and impact of the project with the relevant provincial stakeholders although this is being done at formal forums.

Project document planned to disseminate results from the project *“within and beyond the project intervention zone through existing information sharing networks and forums. The project also planned to “identify and participate, as relevant and appropriate, in scientific, policy based and/or any other networks, which may be of benefit to project implementation though lessons learned.”* However, the project did not target to produce specific knowledge products and did not allocate resources for any knowledge product such as thematic evaluations, surveys, case studies, research papers, or multimedia, etc. Without such knowledge products, it is difficult to disseminate lessons or impact of the project in different forums. Knowledge management and monitoring and evaluation have generally been weaker areas of the project design and implementation. CCAP and relevant UNDP staff do participate in various policy based and other development forums and provide inputs but documented lessons learned have not been shared, which requires attention of CCAP and UNDP during the remaining period of the project. Knowledge products should be documented and project staff and UNDP should present their findings in national and international conferences, workshops, research forums, newspapers and mass media. Appropriate budget should be allocated to these activities for the remaining implementation period.

Project does not have its own website, which could have added to its visibility and could have made information more accessible. Project related documents such as progress reports are regularly updated on UNDP Afghanistan’s website. As noted in the “Introduction” chapter, the project has created its presence on social media (Twitter, Facebook, Flickr, Medium, YouTube, etc.). Many of the updates have been made by UNDP or UNDP-GEF RTA. CCAP team needs to take lead on this important function by making regular updates and creating informative dialogue. This function can be assigned the M&E Specialist, recommended to be recruited by the project.

Project needs to create simple advocacy and awareness material on CCA such as leaflets, pamphlets, posters, calendars, guidance notes, impact briefs, etc., which should be circulated by the project through its staff, partners, and social media. NEPA’s LDCF-1 has produced some good advocacy material, which can be adapted for LDCF-2 with proper acknowledgement. Project needs to allocate budget for production and dissemination of such materials, depending on selection of source of production and dissemination channels.

Sustainable development goals seek to end poverty, protect the planet, and ensure prosperity for all. By increasing income of communities, CCAP is likely to help in reducing poverty, by increasing food production, it will help in reducing hunger, and by making CDCs, WUAs, SHGs, cooperatives more effective, it will contribute to peace, justice, and strong institutions. Another contribution to sustainable development would be to gender equality, as women become more aware, manage productive assets, take lead on economic and social initiatives, and have more income at their disposal. CCAP will also be contributing strongly to global environmental benefits. By creating awareness and with use of water conservation technologies and practices and promotion of afforestation, more plants and trees will be conserved and grown, land will be protected from erosion, and life, property, crops, and infrastructure will sustain reduced loss and damage due to natural disasters. Emission of greenhouse gases will be reduced, which will lead to cleaner air and better health.

4.4 Sustainability

MTR rating of the project sustainability is “moderately likely”. This rating means that “Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review.” The rating is based on Sustainability Rating Scale, as given in the *MTR Ratings and Achievements Summary Table* (Annex IV)

Box 11: Evaluation Criteria – Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.

4.4.1 Project risks and ratings

The project document identified eight risks which could affect project implementation. According to ATLAS categories, four risks were identified as organizational, others were categorized as security, political, environmental, and cultural. Risks were briefly defined and probability estimate²⁸ and impact effect²⁹ of risks were assigned and risk mitigation measures were suggested. There is significant discrepancy in the *Project Risks* table on page 47 of the project document and the Risk Analysis table in Annex I of the project document. For example, first risk is categorized as “security” and assigned Probability=3 and Impact=4 while Annex I categorizes this risk as “political” and assigns Probability=4 and Impact=4. But, according to UNDP Programme & Operations Policies and Procedures (POPP)³⁰, security/safety is an “Environmental” risk. Here is a brief review of all the identified risks:

Risk 1 - Deterioration of security situation in project sites (Probability 4, Impact=4): Among all the risks, this risk was assigned the highest combined probability and risk ratings. This risk still remains highly probable with high impact. While Balkh, Herat and Panjshir have remained relatively secure compared to the rest of Afghanistan, Uruzgan Province has seen prolonged security situation which has hampered closure of a number of infrastructure sub-projects close to completion stages. UNDP-GEF RTA could not visit project sites due to security issues in all the provinces. MTR team had to double the duration of its mission in Afghanistan to visit three out of four provinces, as bombings and protests in Kabul, Herat and Balkh hampered travel and security arrangements. Proposed countermeasures and management response are appropriate.

Risk 2 and 5 – Unavailability of requisite human resources and data (Probability=2, Impact=4): Probability of this risk could have been rated 3. The project manager hired at the start of the project could not perform well to manage the project, which had high negative impact on the delivery and quality of the project. However, given the security risk, countermeasures proposed would have proved a challenging solution, as it is difficult to find good international experts who are willing to be based in Afghanistan. Luckily, leadership in MAIL and UNDP has been able to put together a competent and energetic project team, train it through constant coaching, and probability of this risk is now low. However, Risk 5 is redundant, as it is duplication of Risk 2 in its statement and countermeasures.

²⁸ Probability: estimate of the likelihood of the risk occurring on a scale of 1 (low) to 5 (high)

²⁹ Impact: effect on the project if the risk were to occur on a scale of 1 (low) to 5 (high)

³⁰ https://popp.undp.org/_layouts/15/POPPOpenDoc.aspx?ID=POPP-11-1658

Risk 3 – Compartmentalized work processes and refusal among government departments to share data and information (Probability=2, Impact=4): This was not a key risk in this project, as the entire project is implemented by MAIL with some support from responsible partners. Data and information sharing requirements were not likely to have high impact. Proposed countermeasures are also vague and repetition of response to Risk 2 and 5.

Risk 4 – Extreme climate events such as floods and droughts could disrupt project activities and or damage ecosystems and infrastructure (Probability=2, Impact=4): There has been some probability for occurrence of such extreme events in Afghanistan as evidenced by major floods in Afghanistan in 2014 and recent droughts. Impact of such event could have been high for the project. Countermeasures are appropriate. Villagers benefitting from Safar Khan Canal improvement in Herat told the MTR team that seasonal spring floods in 2017 did significant damage to recently built infrastructure by other government agencies but CCAP infrastructure withstood the floods well due to climate change compliant design and good quality.

Risk 6 – Insufficient institutional support and political commitments (Probability=3, Impact=2): Probability of this risk was justified at the time of formulation of this project, as CCA concerns were not fully shared by many in the government agencies. Election results and political developments could also have affected government’s commitment to the project. However, the incumbent senior government functionaries are highly supportive of CCA agenda. Consultations at the project design stage also seem to have built ownership and commitment. Probability of this risk has now reduced.

Risk 7 – Poor provincial response to the leadership role from MAIL (Probability=2, Impact=4): After extensive provincial level consultations at the project design stage, this was not a key risk and could have been excluded from the Risk Analysis. No significant issue had been noted by the MTR team to leadership from MAIL at provincial level.

Co-financing difficulties (Financial) should have been included as a risk, as CCA finance is still dicey globally. UNDP should consider adding this risk to ATLAS risk log for monitoring during the remaining period of the project. *Inadequate monitoring and evaluation* (Operational) also could have been listed as a risk, as it is almost always difficult to monitor and evaluate projects due to security and mobility issues in conflict situations, which, to some extent, has happened in case of CCAP.

4.4.2 Financial risks to sustainability

Box 12: Evaluation Criteria – Financial risk to sustainability

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project’s outcomes).

After the closure of the project, there will still be need to continue to build capacity of MAIL, MRRD, and MoEW as staff in the ministries and provincial departments get transferred, retire, resign, or may not remember much of what they had learned in terms of climate change risks and response and integration of CCA in planning. Women SHGs tend to disintegrate over time without some support on motivation, networking, linkages, and some financial contribution. Similarly, greenhouses, storage facilities, raisin rooms, water storage reservoirs, water pumping station, and rehabilitated canals need some fund for operation and maintenance. Given the history, government of Afghanistan is not likely to provide the required financial support from its tax revenues though some extension services and some degree of repair work is expected from through the government.

Capacity building at the national level is likely to continue as the country is likely to get more GEF funding through LDCF3 and LDCF4 projects, both of which have capacity building components. Some of this capacity building may benefit the CCAP provincial government as well through trickledown effect. In terms of SHGs, members had shared with the MTR team that they have begun to pool resources from their profits to purchase inputs, supplies, and equipment for food processing, green houses, storage and other livelihood enterprises initiated by the project. Not all groups were earning good profits. However, it is expected that about half of the SHGs would continue their activities after the project closure if they are linked with other initiatives such as Citizen 's Charter program, which is a successor of country wide National Solidarity Program; MAIL is one of the implementing partners of this program. For irrigation infrastructure, MAIL, under other initiatives, has organized Water User Associations (WUAs), which are functional in the project villages. WUAs have received support for institutionalization of operation and maintenance at the community level with some technical support from MAIL. Beneficiaries of the two irrigation schemes visited by the MTR team shared that they had established a fund for taking care of the operation and maintenance of the schemes and any emergency repairs. With these arrangements, it is expected that benefits of the project investments will continue to accrue, in a sizeable number cases, for several years after the closure of the project.

4.4.3 Socio-economic risks to sustainability

Box 13: Evaluation Criteria – Socio-economic risks to sustainability

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future.

In the broader, macroeconomic and social context, UNDP Human Development Report (HDR) 2016³¹ ranked Afghanistan at 169th position out of 188 countries and at 170th position in terms of Per Capita Gross National Product. Similarly, in HDR 2013³², Afghanistan was ranked at 175th position out of 186 countries. These ranking put Afghanistan at the bottom of the low human development countries. The ranking has not changed much over the last three years (2013 and 2016) since the start of the project and the slight change in ranking has happened mostly due to inclusion of more countries in the ranking list. These low rankings show that economic and social risks to sustainability in Afghanistan, at country level, are still very high, as people still face high levels of poverty, illiteracy, and life expectancy. People do not have means to help themselves for provision of private and public goods. This broader context implies that the income added by the project among communities is likely to help them mostly with food insecurity and health expenses and may not result in increase in physical (houses, household durable goods) and financial capital (jewelry, savings, investments) of the communities. This also implies that people may not have enough funds to operate and maintain project investments (such as repair of irrigation infrastructure) with their contributions alone.

³¹<http://hdr.undp.org/en/2016-report>, page 200

³²http://hdr.undp.org/sites/default/files/reports/14/hdr2013_en_complete.pdf, page 146

Project has involved communities and local government in identification of project interventions, avoided high tech interventions beyond the capacity of the communities and the government, built their capacity to manage their ecosystems, given them platforms to unite and voice their concerns, and showed them ways to resolve conflicts in the use of resources. All of these measures are likely to have added to social and economic sustainability of project interventions. Ongoing armed conflict and sectarian clashes, however, remain a threat to peace and harmony in the communities though the situation may have stabilized somewhat as compared to the start of the project.

Project had documented some operational and organizational lessons learned in various progress reviews. However, documentation has not happened at strategic level, as discussed in the section on Monitoring and Evaluation Systems above.

4.4.4 Institutional framework and governance risks to sustainability

Box 14: Evaluation Criteria – Institutional framework and governance risks to sustainability

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/mechanisms for accountability, transparency, and technical knowledge transfer are in place.

According to a Reuters report, parliamentary and district council elections are expected to be held in Afghanistan in July 2018³³. Next year may see disruptions in the functioning of the government due to election campaigns and likely disputes afterwards. Governance in Afghanistan may see some changes which may or may not be favorable to climate change policies of the existing setup. While the project implementation is likely to continue, some adaptation may be required on part of the project to work with the newly elected representatives and bodies, as mechanisms of accountability and transparency may change. Overall, the change is likely to be favorable to the project, as governance is likely to strengthen after the elections. Policy and institutional framework is likely to become more favorable to climate change, as more and more laws and policies recognize the need to mainstream climate change in national plans and governance, as a result of the concurrent implementation of LDCF1, LDCF2, LDCF3, and LDCF4 projects and a number of other national and global initiatives.

With continued streamlining of financial management, procurement, information management, and human resource management functions of the government of Afghanistan³⁴ accountability and transparency in government functioning is likely to improve, which will benefit the project and will add the sustenance of the benefits of the project. Project has not created new any institutions or processes and the current structures and processes are likely to continue over the remaining life of the project.

4.4.5 Environmental risks to sustainability

Box 15: Evaluation Criteria – Institutional framework and governance risks to sustainability

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

³³ <https://www.reuters.com/article/us-afghanistan-election/afghanistan-to-hold-elections-in-july-next-year-idUSKBN19D258>

³⁴ http://www.ctap.gov.af/site_files/14160374731.pdf

Project promoted technologies are generally environment friendly such as solar water pumps, solar dryers, irrigation infrastructure, plantations, food processing, honey making, etc. Capacity building outputs are environment neutral and are meant to add to environmental sustainability in the long run. No specific environmental safeguards were deemed necessary at the start of the project. During the field visits, the MTR did not see any negative effect of the project interventions on environment. Instead, plantations, rangeland management, green houses, irrigation works, etc. have reduced soil erosion and protected crops.

5. CONCLUSIONS AND RECOMMENDATIONS

5.1 Conclusions

5.1.1 Strategy

- a) Stakeholders in Project Board, ministries and agencies, provincial departments, United Nations agencies, NGOs, academia, and in villages accept that climate of Afghanistan is becoming hotter, drier, more extreme and flood-prone, which is creating challenges for adaptation at all levels. There was unanimous consensus on increasing temperatures.
- b) At the strategic level, the project directly responds to the national priorities identified in NAPA, ANDS, SNAP, and NAPWA.
- c) All the three priority areas (capacity building, livelihoods, and water infrastructure) were seen as highly relevant to the development context of Afghanistan by the Project Board, UN agencies, NGOs, and academia. Communities categorized livelihoods and water among their top needs.
- d) GoIRA is signatory to several MEAs with UNFCCC, UNCCD, UNCBD, and CITES, etc., which shows continuing commitment of the government to CCA.
- e) MAIL is leading the project with high expectations despite its small size and considers it as their flagship or vanguard project. All the stakeholders interviewed by the MTR fully recognized the importance of climate change and posed confidence in the leadership of MAIL.
- f) Project strategy had placed a significant focus on improving the livelihoods of women and this focus is evidenced by significant engagement with women by the project on ground.
- g) Among a number of important identified risks, UNDP should also have identified “co-financing difficulties” and “insufficient monitoring and evaluation” among the project risks, as CCA finance remains unpredictable and conflict situation affects project monitoring and evaluation.
- h) Role of MRRD, MoEW, and NEPA could have been more clearly specified. Collaboration among MAIL and other ministries and authorities should have gone beyond data and information sharing.
- i) While the original logframe was kept flexible in terms of outputs, the results chain did not link outputs with outcomes and outcomes with the objective, as shown by vague, too broadly defined, and too complex indicators, many of which did not align with SMART criteria. Process indicators were completely missing, which are favored by GEF and project team now regularly adds such process indicators in AWP. Logframe has been used regularly to monitor results and report to the Project Board and GEF.
- j) Revision in the logframe undertaken by CCAP and UNDP is justified. Outcome level indicators, taken out in the first revision, were also added. Without baseline and endline surveys, it is difficult to add meaningful quantitative indicators at the objective and outcome level. Instead, qualitative, expert-opinion based indicators were added, which are the best option in the current scenario.

5.1.2 Progress towards results

- a) CCAP project has shown considerable progress during its first-half part of implementation period in terms of showing good achievement of delivery of the planned outputs and services, spending of budget, and ensuring reasonable quality of the outputs and services.
- b) While showing less than satisfactory performance in the first year of implementation, by the time of the conduct of the MTR, the project has built impressive momentum in terms of meeting its delivery targets. Assessment of immediate and intermediate outcomes of the project shows promising progress. Overall, performance of the project is rated as “Satisfactory” as of the time of completion of the Mid-Term Review. Rating of component one is “Moderately Satisfactory”, rating of component two is “Satisfactory” and rating of component three is “Highly Satisfactory”.

- c) Project outputs, for example, irrigation schemes and greenhouses are high quality and durable compared to similar works by other Government departments.
- d) CCAP performance under component one can be further improved. While CCAP provided good quality CCA training to officials NGOs, and communities and successfully completed preparation of climate change scenarios for the entire country, quality of CCA integration in community development plans and provincial development plans could be improved further.
- e) Half of the budget in component one is still available, which should be used in preparing CCA distribution material, further and ongoing capacity building of staff in participating ministries and provincial departments, and in strengthening their technical skills related to planning, implementation, and monitoring of climate change risks and adaptation measures.

5.1.3 Project Implementation and Adaptive Management

- a) Overall, adaptive project management is “Satisfactory”. The project is quite likely to achieve its output target, make progress towards outcomes, and achieve funds utilization target before or by the closing date of the project. Project implementation is proceeding at high speed.
- b) Most of the stakeholders reported delays in 2014 and 2015 partly because of recruitment ban by the Government and partly because of the lack of action by the then project manager. MAIL, UNDP, and GEF took appropriate action to replace the project manager.
- c) Stakeholders view this project as owned and led by MAIL.
- d) Qualifications and experience of most of the project staff is quite good. Their ability to deliver good results is resulting in significant turnover of staff, which should be dealt by the project, as it may slow down the speed of the project and may affect quality.
- e) Project staff in the provinces complained about lengthy and cumbersome government procurement process, despite devolution of the process to the provinces. However, delays are somewhat justified, as the structured procedures seem to bring the project good price and quality on procurements.
- f) UNDP is working very closely with the implementing partner and ensuring transparency and good quality of work. Engagement of responsible partners and other stakeholders is quite satisfactory. UNDP-GEF RTA office has been flexible and supportive in helping the project with effective implementation, monitoring of risks and outcomes, and communication of project results.
- g) CCAP and UNDP are fully engaged with its regional office, UN agencies including UNEP, GEF Focal Point (NEPA), MAIL, responsible partners, NGOs, and academia.
- h) Work plans have been prepared in line with UNDP standard templates. However, work plans need to add cumulative progress on target and delivery rate to provide insights on trends. Division of progress, targets, budgets, and delivery rate by provinces will also help in managing delivery at the provincial level. Some findings, based on monitoring reports, on accessibility, quality, usage, benefits, and other immediate and intermediate outcomes should be presented and discussed in the Project Board meetings.
- i) Results-chain logic of the revised logframe needs to be fully reflected in work plans and reports. There is a need for increased focus on monitoring and evaluation activities and documentation and communication of project achievements.

5.1.4 Cost-Effectiveness, Finance, and Co-Finance

- a) Project audit report 2015 was unqualified. Overall compliance with financial management policies and procedures was satisfactory. Internal controls on financial management, procurement, human resource management, and information management are regulated by various well-written manuals, policies, and procedures.

- b) Project spending under component three is 34% and lowest among all the three components. However, a number of infrastructure projects are at various stages of completion, procurement, or design and, at the current pace of delivery during 2016 and 1st half of 2017, this component is on track.
- c) Project staff pointed out delays of 3-4 weeks in the release of money by UNDP after submission of invoices. Due to government regulations, MAIL cannot open its own bank account to receive funds from UNDP. UNDP directly pays invoices and reimburses claims submitted by the project. While some delay is attributable to UNDP due to its due diligence process, the project needs to make sure that complete documentation is submitted to UNDP for timely processing.
- d) CCAP outputs appear to be cost-effective given good quality of the outputs. Sufficient due diligence was evident on part of CCAP and UNDP to control project costs and use the project funds efficiently and cost-effectively.
- e) Project has not succeeded in securing large part of co-financing expected at the time of CEO Endorsement. Some co-financing has been received through MAIL in terms of in-kind contributions and cash flow through other MAIL project that deliver on CCA related issues. MAIL is in the process of marketing successes of this project to World Bank and other donors. There is a need to enhance efforts to market achievements of the project to multiple donors by holding regular meetings with potential co-financing partners.

5.1.5 Project level monitoring and evaluation systems, reporting, and communication

- a) Monitoring and evaluation plan was generally well-designed with specification of reporting requirements and responsibilities, mid-term review and end-of-project evaluation. However, the plan could have been enhanced by adding baseline and endline studies, thematic or technical studies, case study(ies), multimedia, project site, participation in international conferences and forums, and exposure visits for Project Board, provincial focal points of departments, and project staff, etc.
- b) The M&E position provided in the project document has essentially been vacant. It was expected that deputy project manager would play this role but it did not materialize. This position needs to be filled immediately.
- c) Progress reporting is generally good but there is a need to report cumulative progress of the project in QPRs and APRs and link outputs to outcomes with richer analysis.
- d) UNDP conducted two useful outcome level monitoring visits of the project. UNDP-GEF RTA also made a visit of the country but could not visit project sites due to security reasons. However, similar monitoring visits have not been conducted by the project staff.
- e) Project has established its presence on the web by sharing its achievements through updates, pictures, videos, and news clippings. However, CCAP needs to take lead on updates and make the web experience more interactive.
- f) Project is doing good work in livelihood resilience through irrigation works and livelihood related interventions. This work needs to be documented through case studies and research studies. It should be showcased to national and international audience through websites, research repositories, articles, and workshops.
- g) There is a need to budget more money for studies, workshops, and participation in international forums and exposure visits.

5.1.6 Sustainability

- a) Risks identified in the project document are valid in the context of Afghanistan. *Co-financing difficulties* and *adequate monitoring and evaluation* should also have been added as relevant risks. Risks have been monitored closely by CCAP and UNDP and properly documented in various reports.

- b) CCA related capacity development outcome at national level is expected to continue to get funding through four GEF LDCF projects and other initiatives. But capacity building at provincial level may discontinue at the provincial level. Some trickledown of capacity building efforts at the national level is likely to happen at the provincial level, however. So far, other donors have not shown major commitments to CCA in Afghanistan, which may affect the CCA agenda.
- c) Afghanistan is still ranked the bottom of the low human development countries in UNDP HDRs. Poverty levels are high and gains made through the project are likely to be used for consumption, which may constrain funds contributed for continuation of benefits from project investments. Infrastructure and livelihood interventions that contribute directly to personal or household income, such as rehabilitation of irrigation canals and food processing enterprises are more likely to be continued by poor beneficiaries from their own investments.
- d) High engagement of local institutions in project activities such as DDAs, CDCs, WUAs, and SHGs, etc. have added to the social capital of the community, which is like to result in better and continued productivity, voice for communities and better governance.
- e) Communities are willing to operate and maintain irrigation works, greenhouses, cold stores, food processing, etc. on their own to sustain benefits. Green houses may be replicated by farmers with their own resources. However, government is not likely to spare funds for maintenance of major irrigation works such as drip irrigation.
- f) The project has not posed any environmental risk so far. Instead, the project has contributed significantly in reducing environmental risks by planting trees, reducing floods and soil erosion, and by promoting green technologies.

5.2 Recommendations

Rec #	Recommendation	Entity Responsible
A	Strategy	
1.	Key Recommendation: Document and share significant immediate outcomes and lessons of irrigation schemes, green houses, and food processing interventions, impact on earning capacity of women, etc. through case studies, technical studies, articles, notes, and multimedia as examples of successful climate change adaptation. Through these studies, CCAP and MAIL should contribute to operational knowledge management, policy, and research on CCA within and outside the country.	CCAP
2.	Original logframe has been revised by the project team with inputs from the MTR team. The project should add process indicators, such as those given in the AWP, to monitor interim progress before an output is completely delivered. Process and output indicators will also be helpful for existing and newly proposed Monitoring, Evaluation, and Learning activities proposed through this report.	CCAP, UNDP
B	Outcome 1	
1.	Key Recommendation: For climate change integration at community level, project team added some agriculture and livestock related activities in CDC Form 4, which is only a partial adaptation. But CCAP should discuss and include a broader package of CCA activities (awareness creation among women and men, identification of hazards, awareness creation, safe sites for houses and infrastructure, agriculture/livestock/forestry/horticulture/rangeland related adaptive measures, contingency responsibilities, mitigation structures, water storage and conservation measures, irrigation improvements, linkages with support organizations, saving fund, women-specific adaptation measures, etc., many	CCAP, MRRD

Rec #	Recommendation	Entity Responsible
	of which may not be funded by the project. CCAP should work with MRRD to change the Form 4 at least in the project villages and provide necessary training to MRRD staff. If Form 4 cannot be changed then MRRD staff in the provinces should be provided training and guidance notes on concepts, principles, and tools of mitigation and adaptation.	
2.	Key Recommendation: Integration of CCA in Provincial Development Plans needs to beyond a simple list of MAIL activities in the province over the plan year. The project needs to include CCA statements in the “Background” and “Challenges” sections of all relevant sectors. More importantly, CCAP needs to train members of the Provincial Development Committee (PDC) on CCA risks and adaptation measure, as the PDP template does not allow any description of principles, strategies, priorities, and quality standards. CCAP also needs to prepare guidelines on mitigation, adaptation, and resilience measures that provincial departments should strive to incorporate in plans while planning, budgeting, designing, monitoring, and operating and maintaining investments in all sectors. If possible, a 2-page CCA guidance annex may be added to the PDP or a short Manual should be shared with PDC.	CCAP
3.	CCAP needs to create simple and low cost advocacy and awareness material on CCA such as leaflets, pamphlets, posters, calendars with key messages; guidance notes/briefs, procedure notes, impact briefs, etc., which should be circulated by the project through its staff, partners, and social media. NEPA and NEPA-run LDCF-1 project have produced some good advocacy and knowledge management material, which can be adapted for LDCF-2 with proper acknowledgement. Recommendations of the Climate Change Scenarios report can also be converted into Extension leaflets and circulated through MAIL extension staff. Women will particularly benefit from such awareness materials, as they have limited access to means of information and participation in public forums. Project needs to allocate budget for production and dissemination of such materials, depending on selection of source of production and dissemination channels. This activity will add to public awareness and add to project’s visibility.	M&E Specialist, CCAP, NEPA
4.	Climate Change Scenarios report should be made available on the web through multiple platforms so that all stakeholders can benefit from it. The report makes a number of recommendations related to MAIL related areas. CCAP should ensure that MAIL’s strategic and annual plans and projects incorporate recommendations of the report. Extension staff of MAIL from the project provinces may be provided training on the recommendations of the report or else this activity can be run on a pilot basis in one of provinces and then replicated in other provinces. Emphasis should be placed on ensuring equitable access to extension services by women in communities.	CCAP, MAIL
C	Outcome 2	
1.	Key Recommendation: Now that a number of project investments are on ground, CCAP needs to develop standardized guidelines on optimal conditions for operation of greenhouses, solar dryers, raisin rooms, cold stores, food processing enterprise, honey bee enterprise, use of improved seeds and saffron bulbs, pest management, repairs, cropping patterns, etc. Most of the beneficiaries of these activities are women who face mobility and cultural barriers in learning from best practices. Individuals and group	CCAP, MAIL, DAILs

Rec #	Recommendation	Entity Responsible
	beneficiaries need training either through project staff or extension staff of MAIL to maximize benefits and sustainability. Without such training and guidance a number of these investments will not benefit the communities fully.	
2.	While project does not plan to work with non-farm SMEs ³⁵ , Women Self-Help Groups mostly run farm-based enterprises (food processing, greenhouse, etc.) that need help from the project on creating market linkages, microfinance, business planning, and accounting knowledge, a barrier that was identified in the project document. While women have been provided some financial literacy, they need help with the remaining services for the success of their enterprises. Project needs to come up with a plan to provide these services. Farmers and CDCs may also benefit from similar services, as they complained about poor marketing of tomatoes, fruits, and dry fruits, etc.	CCAP
D	Outcome 3	
1.	Key Recommendation: Water management is among the top priorities in national plans. However, completion of conservation and improvement sub-projects for drinking and irrigation require longer completion horizons, more planning, technical human resources, surveys, prolonged community consultations, and continued monitoring. Despite all the challenges, water management sub-projects are highly appreciated by stakeholders, benefit a large number of people with broadly distributed benefits, and have lasting impact on economic and social uplift of communities. CCAP should give high priority to completion of works under component three to increase the low delivery rate so far in this component.	CCAP
2.	A number of infrastructure sub-projects in Uruzgan, which are at various stages of completion, are pending closure due to security situation. Contractors need to be paid for the completed work. CCAP and UNDP should use formal and informal channels either to complete these sub-projects, make partial payments to contractors, or write-off these sub-projects. Similar situations have arisen in Afghanistan in the past; project should have a clear policy to resolve such issues in an effective manner. One way to resolve the situation may be to accept opinion of the benefitting community on the degree and quality of the civil works done instead of an engineer going for physical inspection.	CCAP
E	Project Implementation and Adaptive Management	
1.	Key Recommendation: As provided in the project document, the project needs to hire the M&E Specialist urgently to enhance field monitoring visits, spot checks, process monitoring, outcome monitoring, collection of baseline information, documentation of lessons learned, outcomes, and impact; and promote learning and knowledge management within the project and with external stakeholders.	CCAP
2.	Key Recommendation: SME related outputs in the second component have been removed in the revised logframe. Budget released from this activity should be reallocated to other prioritized output(s) to enable timely planning of the output. Changes in reallocation of M&E budget, proposed elsewhere, should be undertaken at the same time.	CCAP, UNDP

³⁵ CCAP, 2017. *Annual Progress Review, 2016*. Page 16

Rec #	Recommendation	Entity Responsible
3.	Key Recommendation: While effectively engaging project stakeholders, UNDP and MAIL, need to meet various funding agencies more frequently such as World Bank, Asian Development, etc. who may commit more funds for CCA. Documented lessons learned, outcomes, and impact should be used to convince co-financing partners to invest in CCA.	UNDP, CCAP
4.	To enhance results oriented discussions in the Project Board meetings, annual work plans, in addition to current information, should show cumulative targets (since commencement of the project till the last year), cumulative progress, division of output targets by quarter and depiction of activities by a Gantt chart bar, responsible person or entity, which should also include stakeholders other than MAIL, as it may help with coordination and collaboration. Another separate table should show cumulative targets, cumulative progress, and planning year target by province. When presenting targets for output indicator, previous cumulative budget and spending on the component, and the planning year budget should be presented, as it will be a good measure of progress ability of the project to achieve the planning year target. Monitoring and evaluation activities (process indicators) and outputs should be clearly mentioned in the work plan even if such targets are not given in the revised logframe. Monitoring and evaluation budget should be shown separately in the budget. CCAP presentations to the Board should include findings of process and outcome monitoring visits over the review period and anticipated risks over the planning period.	CCAP
5.	Reporting of beneficiaries of project interventions is not consistent among various project reports. While it is very difficult to count beneficiaries exactly (direct vs. indirect) and without duplication, CCAP needs to come up with a simple and standard method of counting and reporting beneficiaries. For the sake of simplicity, entire household of the recipient of a livelihood intervention can be counted as beneficiaries (direct+indirect). Irrigation sub-projects tend to benefit an entire village or group of villages and the entire population can be counted as beneficiary. Counting of trainees is easy, as project has records of direct beneficiaries. Where information concerns indirect beneficiaries, females can be counted as half of the indirect beneficiaries, as rough approximation. Reporting unit should be either household or population or otherwise clearly specified.	CCAP
6.	Engagement of the project with Kabul University is limited only to participation in the Project Board meetings. As has been discussed in the Board meetings, both female and male students from Departments of Hydrometeorology, Faculty of Agriculture, Faculty of Economics, and Anthropology Department, etc. should be engaged for internships and they should be encouraged to complete dissertations on topics such as effectiveness of CCA trainings on creating awareness among trainees, role of agricultural extension in CCA, increase in income of beneficiaries due to livelihood and irrigation infrastructure, case study on effect of irrigation scheme on social and economic dynamics in the command area of an improved canal, etc. Project should consider giving small stipends to students to cover some of their expenses on successful completion of a study. Good studies may be shared with general audience through the web.	CCAP, Kabul University
7.	To promote exposure, learning, and accountability, CCAP should arrange field visits of one project province each year for Project Board members and	CCAP

Rec #	Recommendation	Entity Responsible
	relevant staff of UNDP. Similarly, exposure visits should be arranged for national and provincial project staff and selected staff of responsible government partners of related successful projects working on outcome areas of the project. Some budget should be allocated for these activities.	
8.	While CCAP has tried to hire female staff in the past, this effort should continue and, where possible and feasible, women should be hired for supervisory and administrative positions to ensure gender balance in the team.	UNDP, CCAP
9.	To reduce time lag in the clearance of invoices and reimbursements requests from CCAP, UNDP needs to hire and depute the Finance Officer in CCAP office urgently. As has been planned, this will improve access of CCAP to UNDP systems and information. Besides, CCAP and UNDP need to streamline documentation and approvals, respectively, to reduce annoyance of vendors and contractors of the project.	UNDP, CCAP
F	Sustainability	
1.	Key Recommendation: UNDP and CCAP may consider the possibility of allocating some training and maintenance funds to MAIL for use over a year after closure of the project for irrigation infrastructure and other investments of the project to enhance sustainability. Funds may be used to support project related WUAs, SHGs, cooperatives, etc.	UNDP, CCAP
2.	<i>Co-financing difficulties</i> and <i>inadequate monitoring and evaluation</i> may be included among the project risks and should be regularly monitored and reported. Project should plan countermeasures for possible disruptions in the country and in the functioning of the government around parliamentary election in July next year.	UNDP
3.	MAIL and UNDP should continue and coordinate CCA capacity building of MAIL and other relevant agencies ' staff through LDCF2, LDCF3, LDCF4 and other potential initiatives, as staff transfers, turnovers, and retirement factors dilute the extent of capacity building over time.	CCAP, UNDP

6. ANNEXES

- I. Project Information Table
- II. MTR Terms of Reference (excluding ToR annexes)
- III. Matrix of Assessment of Progress towards Results
- IV. Ratings Scales
- V. MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- VI. List of documents reviewed
- VII. Example Questionnaire or Interview Guide used for data collection
- VIII. MTR mission itinerary
- IX. List of persons and groups interviewed
- X. Revised Results Framework
- XI. CCAP Progress by Province
- XII. Signed United Nations Evaluation Group UNEG Code of Conduct form
- XIII. MTR Final Report Clearance form

Annex I. Project Information Table

Project Title:	Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks	
UNDP Project ID (PIMS #):	00087639 (NIM)	
GEF Project ID (PMIS #):	5098	
ATLAS Business Unit, Award # Project ID:	00076056	
PIF Approval Date:	10 th January 2013	
CEO Endorsement Date:	15 th April 2014	
Project Document Signature Date	27 th April 2014	
Country:	Afghanistan	
Region:	Asia and the Pacific Region	
Focal Area:	Climate Change Adaptation	
GEF Focal Area Strategic Objective:	Strategic objective 5 ('to strengthen community resilience using means to reduce the underlying factors of risk')	
Trust Fund:	LDCF2/SCCF	
Duration:	27 April 2014 – 27 April 2019	
ANDS Component:	Economic and social development	
Contributing to NPP:	National Comprehensive Agriculture Production and Market Development	
CPAP Outcome:	Government capacity to develop policies to manage natural resources enhanced	
UNDP Strategic Plan Component:	Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded	
Total Budget:	US\$10,000,000	
Annual Budget 2017:	US\$ 4,019,999.49	
Implementing Partner:	Ministry of Agriculture, Irrigation and Livestock (MAIL)	
Responsible Partners:	MEW, NEPA, MRRD	
Project Manager:	Shoaib Khaksari	
Date First Project Manager Hired:	August 2014	
UNDP Livelihoods Unit Head:	Laura Rio	
Inception Workshop Date:	11 th January 2015	
Mid-Term Review Completion Date:	20 th October 2017 (expected)	
Planned Project Closing Date:	27 April 2019	
If Revised, proposed op. closing date:	N/A	
Project Financing	At CEO Endorsement (US\$)	At Mid-Term Review (US\$)
[1] GEF Financing:	9,000,000	9,000,000
[2] UNDP Contribution:	1,000,000	1,400,000
[3] Government:	32,000,000	1,000,000 in-kind
[4] Other partners	70,000,000	Project cancelled by USAID
[5] Total Co-Financing [2+3+4]:	103,000,000	2,400,000
Project Total Costs [1+5]:	112,000,000	11,400,000

Annex II. MTR Terms of Reference (excluding ToR annexes)

International Consultant (Mid-Term Review of UNDP GEF-LDCF2 Project)

Background

UNDP Global Mission Statement:

UNDP is the UN's global development network, an organization advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. We are on the ground in 166 countries, working with national counterparts on their own solutions to global and national development challenges.

General Background

UNDP-Global Environmental Facility (GEF)-Least Development Country Fund (LDCF) is a Full-sized project titled Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks (PIMS#5098) implemented through the Ministry of Agriculture, Irrigation and Livestock (MAIL).

The project with financing from the Least Developed Country Fund (LDCF) has been designed to strengthen the capacity of the Government of Afghanistan to integrate Climate Change Adaptation (CCA) into development framework and planning, support the development of alternative climate resilient livelihood options for subsistence farmers as well as improve productive irrigation infrastructure so that agricultural productivity is not constrained under changing conditions.

The main results of the projects are as below:

- Result 1: Climate change variability integrated into local planning and budgeting processes;
- Result 2: Rural income and livelihood opportunities for vulnerable communities enhanced and diversified;
- Result 3: Productive infrastructure improvements.

The project has duration of 5 years and has been planned to last from April 2014 to April 2019. The half-way point in the project was June 2016 and in accordance with UNDP and GEF requirements, the project should have been mid-term reviewed in 2016, but due to low delivery and security problems it was decided to undertake a mandatory mid-term review (MTR) during April to June 2017.

The total budget of this UNDP GEF project is US\$10,004,000 including 1.4 million from UNDP Core fund.

Objective of the Assignment:

The main objective of the MTR is to provide evidence-based information that is credible, reliable and useful. The International Consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, project progress reports, national strategic and legal documents, and any other materials that the team considers useful for

this evidence-based review). The International Consultant will also interview all relevant stakeholders including all parties who have been contracted by the project or participate in meetings and discussions with the project about launching a possible biomass demonstration project.

The International Consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The International Consultant is expected to follow a collaborative and participatory approach^[1] ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders such as Ministry of Agriculture, Irrigation and Livestock (MAIL), National Environmental Protection Agency (NEPA), Ministry to Rural Rehabilitation and Development (MRRD), Ministry of Energy and Water (MoEW), key experts and all consultants in the subject area who have been hired by the project, Project Board, project stakeholders, academia, local government and CSOs, etc.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

[1] For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.

Duties and Responsibilities

Scope of Work and Deliverables:

The International Consultant will assess the following four categories of project progress. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for extended descriptions.

Project Strategy

Project design:

- Review the problem addressed by the project and
- Review the relevance of the project strategy and Were lessons from other relevant projects properly incorporated into the project design;
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects);
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes;
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines;
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Log-frame:

- Undertake a critical analysis of the project 's log-frame indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary;
- Are the project 's objectives and outcomes or components clear, practical, and feasible within its time frame;
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women 's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis;
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review (TT will be provided by project team);
- Identify remaining barriers to achieving the project objective in the remainder of the project;
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement;
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement;
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved;
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results;
- Examine the use of the project's results framework/ log-frame as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions;
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions;
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds;
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans.

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive;
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders;
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation;
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives.

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board;
- Assess how well the Project Team and partners undertake and fulfill GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?);
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results;
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?);
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why;
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project 's outcomes).

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future.

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Expected Output and Deliverables; Estimated duration to complete and payment percentage:

Deliverable 1: Stock taking and desk review

- Together with national consultant, conduct a preliminary desk review to identify national documents and familiarize with project documents and requirements to be reported in MRT inception report; 2 working days; 10%

Deliverable 2: MTR Framework

- Develop or modify (if necessary) the MTR framework to achieve the targeted result; 1 working day;

Deliverable 3: Survey Questionnaire

- Develop a comprehensive questions checklist to collect data from field and relevant stakeholders; 1 working day

Deliverable 4: Evaluation Schedule

- Develop an evaluation schedule including mission plans to be taken place in Kabul and targeted provinces; 2 working days; 20%

Deliverable 5: Inception Report

- International Consultant clarifies objectives and methods of Midterm Review; 1 working day; 10%

Deliverable 6: Data Collection

- Together with national consultant, the international consultant leads the data collection process from field and relevant stakeholder through developed questionnaire; 7 working days;

Deliverable 7: Data Analysis

- Collected data analyzed and reported in MTR final report; 2 working days; 20%

Deliverable 8: Report on Project Strategy

- Review the entire project design and log-frame and provide one page summary to be included in final MTR report; 1 working day;

Deliverable 9: Report on Review of Progress Toward Result

- Check and review log-frame indicator and report on the progress as well as, compare GEF Tracking Tool complete during MTR with the baseline TT and provide a short summary report to be included in final MTR report; 1 working day;

Deliverable 10: Report on Project Implementation

- Review and report on effectiveness of project management, quality of execution of the Executive Agencies and implementing partner, quality of support provided by UNDP and recommendation for improvement. In addition, a short narrative report on how planned activities delivered and whether financial management of the project was cost-efficient or not; 1 working day;

Deliverable 11: Report on Project Sustainability

- A short report on risk identified in the project document/PIRs developed and shared with MTR team; 1 working day; 10%

Deliverable 12: Presentation

- Initial Findings presented on the last day of the Mission; 2 working days; 10%

Deliverable 13: Draft Final Report

- Full report (using guidelines on content outlined in Annex B) with annexes; 7 working days;

Deliverable 14: Submission and acceptance of Final Report

- Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report; 6 working days; 20%

Annex III. Matrix of Assessment of Progress towards Results

Indicator Assessment Key

Green = Achieved	Yellow = On target to be achieved	Red = Not on target to be achieved
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Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
Objective (or Impact): Strengthened resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat provinces to manage climate change induced disaster risks	0.1. 55,000 of 526,085 total households in the 4 provinces who have benefitted from the Climate Change Adaption interventions (livelihood options and infrastructure) - annual indicator	0	0	55,000	2,729 Progress is satisfactory. Miscalculated number (APR 2016 reports 18,966 beneficiaries and QPR 1, 2017 reports 11, 680, totaling 30,646). The target should be kept at 77,000, as given in 1 st in first revision of the logframe. Prodoc estimated beneficiaries at 1 million ³⁷ people (paragraph 141 of Prodoc).	Satisfactory	<ul style="list-style-type: none"> a) Project achievements are generally well respected among the government and UN agencies, academia, and among the communities. b) Benefits seem broad based. It is likely that project benefits will contribute to MDG 1, 3, and 7 in Afghanistan. c) A sizeable number of beneficiaries reported increased income from livelihood and irrigation

³⁶ PIR 2015 reported progress on development on development objective using original logframe indicators. The levels of the indicators reported in this table have been added retroactively after the preparation of the revised logframe.

³⁷ According to Afghanistan Living Conditions Survey 2013-14, average household size in Afghanistan is 7.4, which can be taken as a reasonable proxy for average household size in the project provinces. Given expected population of 1 million and this household size, project should have aimed at reaching 135,000 households.

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
	0.2. % average increase in wheat (and two other crops) yield compared to (Baseline 2016) – annual indicator via Lot Quality Assurance (limited sample) Survey (LQAS)	2016 baseline	0	10%	Baseline not undertaken. Based on MTR field work, the percentage may be around 8-10% for farmers reached so far. Same or better percentage should be maintained for farmers yet to be reached.		<p>infrastructure interventions, while also reporting that they perceived their vulnerability to weather related hazards had reduced.</p> <p>d) Climate change risk and adaptation training targets have been exceeded and quality of the training is generally good. There is some evidence that the training is being used to create awareness and respond to CCA challenges.</p> <p>e) Some effort has been made to integrate climate change in local plans.</p>
Outcome 1: Climate change risk and variability integrated into local planning and budgeting processes	1. Perceived awareness of Mail officials, DDA and CDC members enhanced on climate change risk and adaptation via interviews (Aware, Somewhat Aware, Not Aware)	Not Aware	0	Somewhat Aware	Aware Interviews and review of presentations showed good training. Trainees could recall a number of lessons from CCA workshops.	Moderately Satisfactory	<p>a) Project has exceeded CCA training targets, CCA integration in planning target have been met but quality needs improvement.</p> <p>b) Quality of training on CCA risks</p>

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
	2. Number of provinces and communities demonstrating use of integrated plans in implementation (MTR and Terminal Assessments)	CDP:0 PDP: 0	0	CDP:15 PDP: 3	CDP:24 PDP: 2 This indicator was difficult to verify through MTR. Some use of CCA training was evident as PDPs included NRM activities and communities were practicing conservation and actively participating in adaptation activities.		<p>c) “Climate Change Scenarios for Agriculture of Afghanistan” report has successfully been completed. Implications of projected scenarios for various crops are discussed and adaptation measures are proposed.</p> <p>d) CCA changes in community level and provincial plans are essentially a list of activities, without any specification of guidance, design, standards, implications for additional budget, etc. CCA integration needs to go beyond agriculture activities, especially at the community level.</p>
	3. Number of provincial and community plans developed that incorporated gender dimensions	CDP:0 PDP: 0	0	CDP:15 PDP: 4	CDP:60% PDP:100% Some women related activities are included in CDPs and PDPs. More needs to be done as given in Recommendations.		
	4. Number of policies, projects, technical documents and infrastructure designs referring the climate change scenarios developed by the project	0	0	5	1 Formulation of Natural Resource Management Strategy (2017-20121) was a joint effort of MAIL and NEPA (LDCF1).		

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
Output 1.1*: Training conducted on climate change risk responses	1.1. Number of MAIL officials, DDA and CDC members etc. trained on climate risk information and appropriate response measures -with	Women: 0 Men: 0		Women:350 Men: 200	605 Target has been exceeded but PDP related training needs to be undertaken for		
Output 1.2: CCA incorporated in local plans and budgets	1.2. Number of community and sectoral provincial development plans in which climate change information	0		15; 4	24 CDP; 2 PDP Progress is satisfactory. Training manuals need some		
Output 1.3: Climate Change Scenarios prepared for provinces	1.3. # / 34 provinces for which a Climate Change Scenario report has been developed	0		34	34 Report has been prepared.		
Outcome 2: Rural income and livelihood opportunities for vulnerable communities enhanced and diversified	2.1 Perceived improvements in income of beneficiary populations via FGD (expert opinion)	Women: 2016 level Men: 2016 level		Women: 10% Men: 10%	Women:5-8% Men: 8-10% Beneficiaries reported reasonable increase in income. The level should be maintained for the would-be beneficiaries.	Satisfactory	a) Alternative livelihoods training targets have been exceeded, investments in livelihood sub-projects are on track, and rangeland rehabilitation targets have been exceeded. b) SHG members had good ratio of poor women. Livelihood sub-projects were generating some income for members and at least half were likely to be
	2.2 Proportion of women Self-Help Groups perceived effective in productivity, equity, and sustainability via FGD (expert opinion)	0		50%	50% Groups mostly included poor and vulnerable women. Productivity is profitable in at least half of the groups who		

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
					were willing to sustain their activities.		sustainable. But they needed more training on greenhouse management, food processing and pest management, market linkages, etc.
	2.3 Perceived rehabilitation of rangelands as reported by beneficiary communities via interviews and FGDs(Yes/No)	2016 level		Yes	Yes Communities around rangeland reported support for rehabilitation efforts and plants could be seen around. However, success of rehabilitation efforts will take some time to be established.		c) SME development while pursued in 2015, was discontinued in 2016 without approval from the Project Board and it is not clear where the money is allocated in the budget. d) Rehabilitation of degraded rangelands required constant and prolonged effort on part of the project and communities. Similar initiatives for rehabilitation of rangelands had been successful in the Herat Region but after input over several years.

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
Output 2.1: Training provided on alternative livelihoods	2.1. Number of men and women trained in alternative livelihoods to farming and on climate-resilient farming	0		Women:800 Men: 150	761 women; 163 men Targets have been exceeded. Trainees were satisfied.		
Output 2.2: Livelihood generation facilities constructed	2.2. Number of greenhouses, underground storage facilities and rooms for making raisins constructed	0		80	60 Progress is satisfactory. Quality of the construction is good. More training is		
Output 2.3: Rangeland planted with stress resistant seedlings and protected.	2.3. Number of hectares of degraded rangelands planted with stress resistant seedling varieties	0		400	569 Plans were visible in rangelands. Besides haloxylon, local drought-		
Outcome 3: Productive irrigation infrastructure rehabilitated and improved	3.1 Improved irrigation efficiency (% increment)	2016		20%	15% Farmers reported more than 20% conveyance gains in water delivery. Water control gates have improved consistent flow of water through channels.	Satisfactory	a) While the work on this component did not pick up till 2016, achievement of output targets is on track with the current high momentum. b) A number of projects are at various stages of completion: design, procurement, construction, and verification. c) Quality of the productive
	3.2 Perceived increase in availability of water via FGDs (Adequate/Inadequate)	Inadequate		Adequate	Adequate Villagers reported adequate increase in water both for drinking and irrigation after completion of works.		

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
	3.3 Perceived decrease in damage and loss by floods and droughts reported by beneficiary communities via FGDs (Significant/Insignificant)	Insignificant		Significant	Significant With control over water flow through control gates, channel embankments, and retaining walls etc., significant decrease in loss and damage was reported or expected.		irrigation infrastructure is excellent and highly relevant to the needs of the communities, as revealed in a number of site visits in Herat and Balkh provinces. d) Annual income of farmers was assessed to have increased at least by 10% or more. e) Irrigation works and protection walls have reduced losses caused by uncontrolled flood waters in the past.
Output 3.1: Disaster risk reduction structures created	3.1. Area of agriculture land protected from damage by floods in the targeted areas	0		800	590 Progress is good. Quality of retaining walls and other infrastructure is good.		
Output 3.2: Productive Irrigation infrastructure construction and rehabilitation works	3.2. # of small-scale water reservoirs built and utilized	0		12	6 Progress is satisfactory. Quality is good.		

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
completed	3.3. # micro-water harvesting structures built and utilized	0		4	4 Target is already achieved.		
	3.4. # of karezes and canal systems improved and rehabilitated to reduce water losses and maximize	0		28	11 Progress has been slow but many schemes are in-progress at various stages.		
	3.5. # of contour bunds built to control soil erosion, promote water retention, and reduce risk of avalanches	0		4	This activity was delayed due to emphasis on other activities, which were considered urgent. Plans have been made to		
	3.6 Hectares of newly and better irrigated land due to CCAP interventions	0		10,000	6,072 Progress is satisfactory. Farmers reported increase in irrigated area, as more water		
Project Management, Monitoring, Learning, and Evaluation	1. Number of Project Board meetings held in time.			10	4 Progress is okay. Project Board meetings should be held every six months as		

Project Strategy	Indicator	Baseline	Level in 1st PIR (self-reported) ³⁶	End-of-Project Target	Mid-Term Level and Assessment	Achievement Rating	Justification for Rating
	2. Number of lessons learned and documented via the project	0		3	0 Progress is not satisfactory. This aspect ignored both in project design and		

Annex IV. Ratings Scales

Progress Towards Results Rating Table

Rating Item	Rating Explanation
Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings
Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Project Implementation and Adaptive Management Rating Table

Rating Item	Rating Explanation
Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Sustainability Rating Scale

Rating Item	Rating Explanation
Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future

Rating Item	Rating Explanation
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex V. MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
Project Strategy				
Project Design	Review the problem addressed by the project	<ul style="list-style-type: none"> Context of the problem Causes and effects of the problem, if unaddressed 	Project document, national policies or strategies, GEF documents	Document review, interviews with UNDP and GoIRA
	Review the relevance of the project strategy	<ul style="list-style-type: none"> Alignment with national strategies Consistency with human development needs and challenges in the country 	<ul style="list-style-type: none"> Project document Project Annual Work Plans Project Key Assessment reports National planning documents Human Development Reports MDG progress reports Interviews with beneficiaries 	<ul style="list-style-type: none"> Document analysis Data analysis Interviews with project staff Interviews with stakeholders Interviews with beneficiaries
	Were lessons from other relevant projects properly incorporated into the project design	<ul style="list-style-type: none"> Project evaluations referred in prodoc Evaluations of similar projects 	<ul style="list-style-type: none"> Prodoc Evaluations of similar projects 	<ul style="list-style-type: none"> Review of documents Interviews with stakeholders
	Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)	<ul style="list-style-type: none"> Alignment with sector strategies and plans Participation of stakeholders in project design Relationships established 	<ul style="list-style-type: none"> Sector strategies and plans Interviews with national sector focal points Interviews with project staff 	<ul style="list-style-type: none"> Review of documents Interviews with national sector partners Interviews with NGOs/Civil society
	Review decision-making processes: Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes	<ul style="list-style-type: none"> Degree of involvement of beneficiaries, implementers, development partners, sector partners, researchers, and international stakeholders 	<ul style="list-style-type: none"> Beneficiary consultations Government partners Development partners Civil society and researchers International stakeholders 	<ul style="list-style-type: none"> FGDs with beneficiaries Interviews with Government partners, development partners, civil society and researchers Desk review of CCA related international strategies, guides, and plans
	Review the extent to which	<ul style="list-style-type: none"> Relevant gender 	<ul style="list-style-type: none"> Prodoc 	<ul style="list-style-type: none"> Review of

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
	relevant gender issues were raised in the project design	<ul style="list-style-type: none"> issues raised in the prodoc Issues triggered by Environmental and Social Guidelines and mitigation measures Project budget allocated to gender relevant outcomes, outputs, and activities Consultations with gender specialists and representatives of women 	<ul style="list-style-type: none"> Environmental and Social Screening Project budget and expenditure statements Records of consultations with representatives of women 	<ul style="list-style-type: none"> documents Interviews with project staff Analysis of project budget and expenditure Interviews with civil society and other stakeholders
	If there are major areas of concern, recommend areas for improvement	<ul style="list-style-type: none"> Alignment among gender issues and project strategy, outcomes, outputs, and activities 	<ul style="list-style-type: none"> Above sources 	<ul style="list-style-type: none"> Analysis of unaddressed issues Recommendations received in interviews with above stakeholders
Results Framework/Logframe	Undertake a critical analysis of the project 's log-frame indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary	<ul style="list-style-type: none"> Alignment of logframe indicators and targets with SMART criteria Alignment of indicators with MDGs and CCA indicators Consistency among project achievements and indicators Observed unintended outcomes Modifications in project design 	<ul style="list-style-type: none"> CCAP Results Framework/ logframe Relevant MDGs and CCA indicators Project work plans and progress reports Observations of site visits and consultation notes List of modifications in project design 	<ul style="list-style-type: none"> Analysis of logframe targets and indicators Interviews with UNDP Interviews with MAIL Interview with Regional Advisors
	Are the project 's objectives and outcomes or components clear, practical, and feasible within its time frame	<ul style="list-style-type: none"> Alignment of the project outcomes and components with barriers, constraints, budget, time, human resource capacity, political situation 	<ul style="list-style-type: none"> Prodoc Project work plans and progress reports Interviews with UNDP Interviews with Government partners Interviews with development partners Site visit notes Interviews with beneficiaries 	<ul style="list-style-type: none"> Analysis of documents Interviews with government partners Interviews with development partners Site visits FGDs with beneficiaries
	Examine if progress so far has led to, or could in the future	<ul style="list-style-type: none"> Alignment of logframe indicators 	<ul style="list-style-type: none"> Same as above 	<ul style="list-style-type: none"> Same as above

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
	catalyze beneficial development effects (i.e. income generation, gender equality and women 's empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis	with achieved progress <ul style="list-style-type: none"> Recommendations made by stakeholders during consultations 		
	Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits	<ul style="list-style-type: none"> Alignment between realized progress or potential achievements and logframe indicators Gender disaggregated and gender balanced indicators included in the logframe 	<ul style="list-style-type: none"> Same as above 	<ul style="list-style-type: none"> Same as above
Progress Towards Results				
Progress Towards Outcomes Analysis	Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; color code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red)	<ul style="list-style-type: none"> Progress against outcomes (quantitative and qualitative) 	<ul style="list-style-type: none"> Prodoc Results Framework Progress reports MTR findings 	<ul style="list-style-type: none"> Analysis of documents Progress Towards Outcome Analysis Matrix and ratings
GEF Tracking Tool	Compare and analyses the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review (TT will be provided by project team)	<ul style="list-style-type: none"> Same as above 	<ul style="list-style-type: none"> Same as above GEF Tracking tools 	<ul style="list-style-type: none"> Same as above
Barriers and success factors	Identify remaining barriers to achieving the project objective in the remainder of the project	<ul style="list-style-type: none"> Same as above 		<ul style="list-style-type: none"> Use the Recommendation Table
	By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits	<ul style="list-style-type: none"> Same as above 		<ul style="list-style-type: none"> Use the Recommendation Table
Project Implementation and Adaptive Management				

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
Management Arrangements	Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement	<ul style="list-style-type: none"> • Current management arrangements vs. the arrangements proposed in Prodoc • Degree of transparency in project decisions 	<ul style="list-style-type: none"> • Prodoc • Interviews with Project Board • Interviews with UNDP • Interviews with implementing partners • Project records 	<ul style="list-style-type: none"> • Analysis of documents and records • Interviews with Project Board • Interviews with implementing partners
	Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement	<ul style="list-style-type: none"> • Focus on results and timeliness • Compliance with expected standards of work flow and inputs • Quality of risk management • Realism in reporting • Management of budgeting, procurement, human resources, and financial arrangements • Mitigation of environmental and social risks 	<ul style="list-style-type: none"> • Meeting records • Training records • Financial, procurement, and HR reports • Annual work plans and budgets • Progress reports • Monitoring reports 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP • Interviews with implementing agency • Interviews with partner agencies • Site visits
	Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement	<ul style="list-style-type: none"> • Focus on results • Adequacy, quality, and timeliness of support to MAIL • Candor and realism in reporting • Quality of risk management • Responsiveness to implementation problems • Mitigation and management of environmental and social risks 	<ul style="list-style-type: none"> • Meeting records • Project Board meeting records • Financial, procurement, and HR reports • Annual work plans and budgets • Progress reports • UNDP monitoring reports • Reports of project consultants 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP • Interviews with implementing agency • Interviews with partner agencies • Site visits • Interviews with GEF focal point • Interviews with regional advisors
Work Planning	Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved	<ul style="list-style-type: none"> • Missed targets • List of delays • Ability of the project to meet remaining targets over the remaining life of the project 	<ul style="list-style-type: none"> • Prodoc • Progress reports • GEF Tracking tool • Interviews with UNDP • Interviews with implementing partner • Overall MTR findings 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP • Interviews with implementing agency • Interviews with partner agencies

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
				<ul style="list-style-type: none"> • Site visits
	Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results	<ul style="list-style-type: none"> • Linking of inputs to outputs and outputs to outcomes in work plans • Results-orientated lessons learned mentioned in work plans or reflecting improvements over a previous work plan 	<ul style="list-style-type: none"> • Prodoc • Progress reports • GEF Tracking tool • Interviews with UNDP • Interviews with implementing partner • Overall MTR findings 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP • Interviews with implementing agency • Interviews with partner agencies • Site visits
	Examine the use of the project 's results framework/ log-frame as a management tool and review any changes made to it since project start	<ul style="list-style-type: none"> • Number of revisions, number of indicators and types of indicators and targets revised • Adequacy and quality of the changes in the context of the results-based management 	<ul style="list-style-type: none"> • Prodoc • Revised logframes • Project Board meeting records • Interviews 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP • Interviews with implementing partners • Interviews with regional advisors • Interviews with GEF focal point
Finance and co-finance	Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions	<ul style="list-style-type: none"> • Cost overruns/underruns • Costs in relation to similar inputs on other projects or places • Timeliness and clarity of financial arrangements 	<ul style="list-style-type: none"> • Prodoc • Project Board meeting records • Progress reports • Financial statements • Monitoring reports • Issues logs in progress reports • Audit reports 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with financial management staff of UNDP and MAIL • Interviews with partner agencies and other stakeholders • Interviews with beneficiaries
	Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions	<ul style="list-style-type: none"> • Justifications for revisions • Extent of revisions and impact on results and beneficiaries • Budget and expenditure variances 	<ul style="list-style-type: none"> • Prodoc • Project Board meeting records • Progress reports • MAIL meeting records • Audit reports 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP and MAIL
	Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds	<ul style="list-style-type: none"> • Existence of financial policies and procedures • Use of financial systems • Compliance with financial reporting standards 	<ul style="list-style-type: none"> • Prodoc • Project Board meeting records • Progress reports • UND and MAIL meeting records • Audit reports 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with Project Board • Interviews with UNDP and MAIL
	Informed by the co-financing	<ul style="list-style-type: none"> • Amount of co- 	<ul style="list-style-type: none"> • Co-Financing 	<ul style="list-style-type: none"> • Analysis of

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
	monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans	financing made available <ul style="list-style-type: none"> • Meetings held with potential co-financing partners • Plans to get more co-financing 	Table prepared by UNDP <ul style="list-style-type: none"> • Meeting records with co-financing partners • Any co-financing strategy for the remaining period of the project 	documents <ul style="list-style-type: none"> • Interview with Project Board • Interviews with UNDP and MAIL • Interview with Ministry of Finance
Project-level Monitoring and Evaluation Systems	Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive	<ul style="list-style-type: none"> • Adequacy of M&E Plan and M&E budget • M&E arrangements by MAIL and other Government partners • Involvement of partners and beneficiaries in the M&E process • Follow-up on M&E findings 	<ul style="list-style-type: none"> • Prodoc • Monitoring and evaluation reports of UNDP, MAIL, and other partners • Interviews with GEF focal point, UNDP, and MAIL • Progress reports • Project Board meeting records 	<ul style="list-style-type: none"> • Analysis of documents • Interview with Project Board • Interviews with UNDP and MAIL • Interviews with provincial MAIL staff
	Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?	<ul style="list-style-type: none"> • Alignment between Monitoring and Evaluation Plan, budget, and expenditures • Allocation of budget by types of M&E activities 	<ul style="list-style-type: none"> • Same as above 	<ul style="list-style-type: none"> • Same as above
Stakeholder Engagement	Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders	<ul style="list-style-type: none"> • Number and quality of partnerships established • Partnership outreach activities • Visible benefits of the partnership 	<ul style="list-style-type: none"> • Prodoc • Progress reports • Partnership meeting records • Interviews with various stakeholders 	<ul style="list-style-type: none"> • Review of documents and records • Interviews with UNDP and MAIL • Interviews with other partners and stakeholders
	Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation;	<ul style="list-style-type: none"> • Money allocated in annual national budgets to CCA activities • Number of high level meetings and visits of the project activities by Ministers and Government officials 	<ul style="list-style-type: none"> • Interviews with Government partners • Interviews with UNDP • Progress reports 	<ul style="list-style-type: none"> • Analysis of documents • Interviews with UNDP and Government partners • Interviews with UN partners
	Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress	<ul style="list-style-type: none"> • Facilitation of project activities by stakeholders • Help by stakeholders in 	<ul style="list-style-type: none"> • Records on public awareness activities • Progress reports 	<ul style="list-style-type: none"> • Review of documents • Interviews with GEF focal point, UNDP, Government, civil

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
	towards achievement of project objectives	<ul style="list-style-type: none"> resolving implementation problems and issues Participation of stakeholders in CCA related advocacy activities Lessons learned or shared with stakeholders 	<ul style="list-style-type: none"> Meeting records Participation records of learning and sharing activities 	society, and academia
Reporting	Assess how adaptive management changes have been reported by the project management and shared with the Project Board;	<ul style="list-style-type: none"> Timeliness and realism of progress reports, monitoring reports, and notes Link of the reports to broader context, results, and recommendations 	<ul style="list-style-type: none"> Progress reports Monitoring reports Project Board meeting records 	<ul style="list-style-type: none"> Review of documents Interviews with Project Board, UNDP, and MAIL
	Assess how well the Project Team and partners undertake and fulfill GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)	<ul style="list-style-type: none"> Timeliness, quality, and realism of GEF Tracking tools and other reports Feedback received from GEF on reports and follow-up action 	<ul style="list-style-type: none"> GEF Tracking tool and other reports Interview with GEF focal point Interviews with UNDP 	<ul style="list-style-type: none"> Review of documents Interviews with GEF focal point and UNDP
	Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners	<ul style="list-style-type: none"> Number of notes, reports, and media prepared to share lessons Number of events held or participated on sharing and knowledge management 	<ul style="list-style-type: none"> Notes, reports and media prepared by the project Records of events held or participated on sharing of lessons 	<ul style="list-style-type: none"> Review of documents and media Review of event narratives Meetings with UNDP, MAIL, and other partners
Communications	Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results	<ul style="list-style-type: none"> Workshops and events held to share project concept and progress, and train project stakeholders on project related issues Communication received within UNDP or MAIL and logs kept Responses to any received communication 	<ul style="list-style-type: none"> Workshops and event records Communication logs and responses Interviews with UNDP, MAIL, and other partners Project or UNDP website Overall MTR findings 	<ul style="list-style-type: none"> Review of documents Interviews with UNDP, MAIL, and other partners
	Review external project communication: Are proper means of communication established or being established to express the project progress and intended	<ul style="list-style-type: none"> Website created or project documents shared through other websites Events, workshops, and public 	<ul style="list-style-type: none"> Same as above 	<ul style="list-style-type: none"> Same as above plus FGDs with beneficiaries Interviews with civil society and academia

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
	impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)	awareness campaigns held		
	For reporting purposes, write one half-page paragraph that summarizes the project 's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits		<ul style="list-style-type: none"> • Process reports • Overall MTR findings 	
Sustainability				
	Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why	<ul style="list-style-type: none"> • Actualized risks • Corrective measures taken 	<ul style="list-style-type: none"> • Progress reports • Issues logs • Interviews with UNDP and MAIL 	<ul style="list-style-type: none"> • Review of documents • Interviews with UNDP and MAIL
Financial risks to sustainability	What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project 's outcomes)	<ul style="list-style-type: none"> • Presence of clear exit strategy for the project • Financial commitments received or expected in the pipeline • Self-sustaining activities of the project 	<ul style="list-style-type: none"> • Prodoc • Annual work plans • Progress reports • Interviews with UNDP and Government partners 	<ul style="list-style-type: none"> • Review of documents • Interviews with UNDP and Government partners
Socio-economic risks to sustainability	Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being	<ul style="list-style-type: none"> • Support from national authorities • Support from international funding agencies • Support among civil society, media, and academia • Initiatives taken to scale-up the project 	<ul style="list-style-type: none"> • Same as above plus • Interviews with stakeholders including Government, donors, civil society, and academia 	<ul style="list-style-type: none"> • Review of documents • Interviews with stakeholders

Criteria/Sub-criteria	Evaluative Questions	Indicators	Sources	Methodology
	documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future			
Institutional Framework and Governance risks to sustainability	Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/mechanisms for accountability, transparency, and technical knowledge transfer are in place	<ul style="list-style-type: none"> Conflicts faced by the project with legal framework, policies, and governance structures Accountability arrangements and knowledge transfer mechanisms 	<ul style="list-style-type: none"> Prodoc Progress reports Documentation related to any encountered institutional conflicts Interviews with UNDP and Government partners 	<ul style="list-style-type: none"> Review of documents Interviews with UNDP and Government partners
Environmental risks to sustainability	Are there any environmental risks that may jeopardize sustenance of project outcomes	<ul style="list-style-type: none"> Environmental risks observed or highlighted by project stakeholders 	<ul style="list-style-type: none"> Progress reports Related documentation in external publications Interviews with UNDP, Government stakeholders and other partners 	<ul style="list-style-type: none"> Review of documents Interviews with UNDP, Government stakeholders and other partners

Annex VI. List of documents reviewed

1. UNDP related documents

- 1.1. Executive Board of UNDP, UNFPA, and UNOPS, July 2014. *“Country Programme Document for Afghanistan (2015-2019)”*.
- 1.2. GEF, 2013. *“PIF Clearance and PPG Approval Letter”*
- 1.3. UNDP Afghanistan, 2015. *“Project Implementation Review, 2015”*
- 1.4. UNDP Afghanistan, 2016. *“Project Implementation Review, 2016”*
- 1.5. UNDP Afghanistan, 2017. *“Project Implementation Review, 2017”*
- 1.6. UNDP Afghanistan, 2012. *“Project Identification Form ”*
- 1.7. UNDP Afghanistan, 2013. *“Initiation Plan – CCAP”*
- 1.8. UNDP Afghanistan, 2015. *“1st Quarterly Project Progress Report 2015 – CCAP”*
- 1.9. UNDP Afghanistan, 2015. *“2nd Quarterly Project Progress Report 2015 – CCAP”*
- 1.10. UNDP Afghanistan, 2015. *“3rd Quarterly Project Progress Report 2015 – CCAP”*
- 1.11. UNDP Afghanistan, 2016. *“1st Quarterly Project Progress Report 2016 – CCAP”*
- 1.12. UNDP Afghanistan, 2016. *“2nd Quarterly Project Progress Report 2016 – CCAP”*
- 1.13. UNDP Afghanistan, 2016. *“3rd Quarterly Project Progress Report 2016 – CCAP”*
- 1.14. UNDP Afghanistan, 2016. *“Annual Project Progress Report 2016 – CCAP”*
- 1.15. UNDP Afghanistan, 2016. *“Audit Report 2015 – CCAP”*
- 1.16. UNDP Afghanistan, 2017. *“Audit Report 2016 – CCAP”*
- 1.17. UNDP Afghanistan, April 2014. *“Project Document - Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks ”*
- 1.18. UNDP Afghanistan, February 2015. *“Annual Project Progress Report 2015 – CCAP”*
- 1.19. UNDP Afghanistan, January 2015. *“Annual Project Progress Report 2014 – CCAP”*
- 1.20. UNDP Afghanistan, May 2017. *“1st Quarterly Project Progress Report 2017 – CCAP”*
- 1.21. UNP Afghanistan, 2016. *“Terms of Reference – International Consultant: Reporting and Communication)”, Livelihoods and Resilience Unit.*
- 1.22. Moore Stephens LLP, 2015. *“UNDP Afghanistan Micro Assessment – Implementing Partner Ministry of Agriculture, Irrigation, and Livestock”*
- 1.23. UNDP, 2016. *“Human Development for Everyone – UNDP Human Development Report 2016”*
- 1.24. UNDP, 2014. *“Harmonized Approach to Cash Transfer (HACT) Framework”*
- 1.25. UNDP, January 2008. *“Project Risk Log – Deliverable Description”* part of *UNDP Programme & Operations Policies and Procedures.*
- 1.26. UNDP, July 2011. *“National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures”*
- 1.27. UNDP. *UNDP’s Monitoring Framework for Climate Change Adaptation”*.

2. Studies, reports and communication materials produced by CCAP or with contribution of CCAP

- 2.1. CCAP, 2015, 2016, 2017. *“CCAP Project Board Meeting Minutes”*
- 2.2. CCAP, 2017. *“CCAP CEO Endorsement and Mid-Term GEG Tracking Tool”*
- 2.3. CCAP, 2015. *“Annual Work Plan 2015 – CCAP”*
- 2.4. CCAP, 2015. *“Approved Procurement Plan 2015 - CCAP”*
- 2.5. CCAP, 2016, 2017. *“Community Development Plans of Shaid Ruj, Mahal Ruj, Langar, Pul Babo, Mirza Shams”*.
- 2.6. CCAP, 2016. *“A Toolkit for Community Based Vulnerability Assessment”*.

- 2.7. CCAP, 2016. *“A Trainer’s Manual for Community Level Sensitization on Incorporation of Climate Change Risk and Vulnerability into the Local Development Planning Process”*.
- 2.8. CCAP, 2016. *“Annual Work Plan 2016 – CCAP”*
- 2.9. CCAP, 2016. *“Approved HR Plan 2016 - CCAP”*
- 2.10. CCAP, 2016. *“CCAP Revised Logframe ”*
- 2.11. CCAP, 2016. *“Community Adaptation Plan of Action of Ruj CDC, Ghoriyan District, Herat”*
- 2.12. CCAP, 2016. *“Approved Procurement Plan 2016 - CCAP”*
- 2.13. CCAP, 2017. *“Annual Work Plan 2017 – CCAP”*
- 2.14. CCAP, 2017. *“Approved HR Plan 2017 - CCAP”*
- 2.15. CCAP, 2017. *“Database of Training Participants arranged by CCAP Herat”*.
- 2.16. CCAP, 2017. *“Monitoring Report #9, dated 24th May 2017, of Reg-e-Bul Bul Canal Improvement, Qala Miransha Village, Anaba District”*.
- 2.17. CCAP, 2017. *“Presentation to CCAP MTR”* by Balkh, Herat, Panjshir and Uruzgan CCAP Task Teams.
- 2.18. CCAP, 2017. *“Training Plan – Climate Change Risks, Vulnerability, and Planning Process”*.
- 2.19. CCAP, 2017. *“Approved Procurement Plan 2017 - CCAP”*
- 2.20. CCAP, Feb 2017. *“Assessment Report, Jangan Irrigation Scheme, Ghorian District, Herat Province”*.
- 2.21. CCAP, January 2015. *“Inception Workshop Report”*.
- 2.22. CCAP, May 2017. *“Climate Change Scenarios for Agriculture of Afghanistan”* prepared by MgtWell Consulting Services, Kabul.
- 2.23. Ministry of Economy, April, 2017. *“Provincial Development Plans, Uruzgan Province 1396 (2016), and 1397 (2017)”*.

3. Other documents

- 3.1. Afghanistan National Disaster Management Authority, GoIRA, March, 2011. *“Afghanistan Strategic National Action Plan (Snap) for Disaster Risk Reduction: Towards Peace and Stable Development”*
- 3.2. Evaluation Office of UN Environment, January 2017. *“Mid-Term Evaluation of the Project: ‘Building Adaptive Capacity and Resilience to Climate Change in Afghanistan (LDCF-1 project)’ (LDL-5060-2724-4C87)”*.
- 3.3. Evaluation Office, GEF, March 2008. *“Elements for an M&E Framework for Climate Change Adaptation Projects-Lessons Learned from GEF Climate Change Adaptation Projects”*.
- 3.4. GEF, 2014. *“Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects”*
- 3.5. GEF, January 2012. *“LDCF/SCCF Climate Change Adaptation Strategy”*
- 3.6. GEF, November 2010. *“Updated Results-Based Management Framework for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) and Adaptation Monitoring and Assessment Tool”*
- 3.7. GEF, October 2014. *“Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund and the Special Climate Change Fund”*
- 3.8. GoIRA, 2008. *“Afghanistan National Development Strategy”*
- 3.9. GoIRA, 2009. *“National Adaptation Programme of Action”*
- 3.10. GoIRA, 2016. *“New National Priority Programs”*
- 3.11. GoIRA. *“Afghanistan Initial National Communication - Paper Prepared for the United Nations Framework Convention on Climate Change (UNFCCC)”*
- 3.12. Intergovernmental Panel on Climate Change, 2014. *“Climate Change Report 2014”*

- 3.13. Land and Water Australia. *“Water Use Efficiency-Irrigation Insight No. 5”*.
- 3.14. Ministry of Irrigation, Water Resources and Environment, GoIRA, May 2004. *“A Strategic Policy Framework for the Water Sector”*
- 3.15. Ministry of Women’s Affairs, GoIRA, 2007. *“National Action Plan for Women’s Affairs (NAPWA)”*
- 3.16. National Directorate of Forestry and Water Resources, Ministry of Agriculture, Forestry and Fisheries, GoIRA, November 2004. *“Policy and Strategy Forestry and Watershed Subsector”*
- 3.17. National Environmental Protection Agency. *“Environment Sector Strategy 2007/08-2012/13 – Afghanistan National Development Strategy”*
- 3.18. OECD, 2011. *“Universal metrics to compare the effectiveness of climate change adaptation projects”*.
- 3.19. UNDP, 2007. *“Human Development Report 2007/2008 – Fighting Climate Change: Human Solidarity in a Divided World”*
- 3.20. UNDP, 2013. *“Discussion Paper - Innovations in Monitoring and Evaluating Results”*
- 3.21. UNEP, NEPA, GEF, February 2009. *“National Capacity Needs Self-Assessment for Global Environmental Management (NCSA) and National Adaptation Programme of Action for Climate Change (NAPA)”*
- 3.22. World Food Programme, United Nations Environment Programme, and Afghanistan’s Environmental Protection Agency, November 2016. *“Climate Change in Afghanistan – What does it mean for rural livelihoods and food security?”*

Annex VII. Example Questionnaire or Interview Guide used for data collection

INTERVIEW CHECKLIST

Applicable to: i) Head of the Livelihoods and Resilience Unit, UNDP, ii) Programme Officer Livelihoods and Resilience Unit, UNDP iii) Project Manager CCAP, MAIL

Name of the Interviewee		Date	
Position/Title		Time	
Department/Section/Unit		Persons present	
Location			

1. General

- a) Have you been able to regularly visit project areas in the districts to monitor progress of the project? Please share any constraints that you have faced in this regard.

2. Project Strategy

2.1 Project Design

- a) In relation to the problem addressed by the project, what is the relevance of the project strategy?
- b) Were lessons from other relevant national and international projects properly incorporated into the project design?
- c) How does the project address country priorities? Was the project concept in line with the national sector development priorities and plans of the country
- d) Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes;
- e) Were relevant gender issues raised in the project design?
- f) Does the project budget include funding for gender-relevant outcomes, outputs and activities?
- g) Are the project’s results framework targets set up to guarantee a sufficient level of gender balance in activities (e.g. quotas for male and female participation)?
- h) Were there any critical gaps in the design of the project, which were not addressed?
- i) Have significant changes of interest happened in the country/local/global context since the design of the project? Do they support or undermine the objective of the project?
- j) If there are major areas of concern, recommend areas for improvement.
- k) How has CCAP contributed to CCA agenda in Afghanistan in the broader context?

2.2 Results Framework/Logframe

- a) Are the project objectives, outcomes, and components clear and practical? Can they be achieved within the stipulated time frame?
- b) Did the project logframe capture intended or desired results adequately? If not, what needed to be changed?

- c) Are the project's results framework indicators disaggregated by sex and wherever possible by age and by socio-economic group (or any other socially significant category in society)?
- d) Have there been any changes to the logframe? If yes, what has been changed?
- e) How has the logframe been used to monitor results of the project and bring about course corrections?

3. Progress Towards Results

3.1 Progress Towards Outcomes Analysis

- a) How do you view the adequacy and quality of training from CCAP on climate risk information and response? Is this training helping government officials and villagers?
- b) How do you view livelihood work done especially with women and girls? Did poor women benefit from livelihood options created by the project? Are the livelihood options likely to increase income of women and their households?
- c) Has retention of rain water and irrigation infrastructure improved in the target villages? Please provide examples of the improvements/likely improvements in the lives of the people.
- d) Has the availability of drinking water improved in the target villages? Please give examples.
- e) How do you see the improvements in the rangelands due to project's efforts to restore and rehabilitate? Is it effective and sustainable?
- f) Have incomes of rural communities been diversified or being diversified due to the work of the project including irrigation infrastructure?
- g) Identify, if possible, legal, cultural, or religious constraints on women's participation in the project.
- h) What can the project do to enhance its gender benefits?
- i) Is there any potential negative impact on gender equality and women's empowerment? What can the project do to mitigate this?
- j) What are the areas of strength of CCAP in terms of achievement of results? What contributed to good achievements?
- k) Where has CCAP fallen short of expectations in terms of results? What are the barriers to achievement?
- l) Do you see any issues in achieving all the results of the project end?

4. Project Implementation and Adaptive Management

4.1 Management Arrangements

- a) Are the management arrangements in the project document adequate, clear, and effective? Would you like to propose any changes based on the project experience so far?
- b) Is decision making transparent and timely? Any recommendations?
- c) What do you think about the quality of execution by MAIL? And participation by other partners such as MRRD, NEPA, MEW, etc.?
- d) Do the Executing Agency/Implementing Partner and/or GEF Partner Agency and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- e) What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- f) How has the project been supported by GEF? Areas for improvement?

4.2 Work Planning

- a) Has project faced any delays in startup? What have been the causes? What has done to resolve the issues?
- b) Have there been any issues in the preparation of annual work plans? Are the plans sufficiently disaggregated by province and district?
- c) Are plans linked with logframe outcomes? What shows that plans include lessons from previous years?

4.3 Finance and Co-Finance

- a) Have funds been reallocated due to budget revisions? Why those reallocations were necessary?
- b) How has project strived to make project interventions cost-effective? Are project interventions more cost-effective than other similar projects in Afghanistan?
- c) What are the financial controls in place to reduce error and fraud, ensure timeliness, and ensure quality of information? What is the level of compliance with the financial controls?
- d) Has project received the co-financing envisaged at the start of the project? What efforts have been made to ensure financing and align with objectives of the project?
- e) How has the co-financing been used by the project?

4.4 Project-level Monitoring and Evaluation Systems

- a) What information system is used to collect and process monitoring and progress data? Is this system consistent with requirements of GoIRA, UNDP, and GEF?
- b) What are the participation and information sharing mechanisms in relation to monitoring and evaluation activities?
- c) What is the follow-up process on monitoring and evaluation findings?
- d) Is M&E constrained by financial resources? Any suggestions?

4.5 Stakeholder Engagement

- a) What kinds of partnerships have been established for CCAP? How these partnerships have been leveraged to meet the objectives of the project?
- b) What is level of acceptance of the CCA and project objectives among Government partners? What is the level of participation of the Government partners for efficient and effective implementation of the project?
- c) What has been the contribution of the project in building public awareness on climate change adaptation? Has this contribution helped the project?

4.6 Reporting

- a) Has the reporting been adequate to meet the reporting requirements of the Project Board?
- b) Has project fulfilled reporting requirements of GEF? Has follow-up been made on feedback from GEF, especially on PIRs?
- c) What has been done by the project to share lessons learned and ensure internalization of those lessons?

4.7 Communications

- a) How does CCAP maintain communication with its stakeholders? Is someone left out? What is feedback mechanism?
- b) Does communication contribute to better implementation of the project and achievement of results?

- c) What are the means of public awareness used by the project? What is being communicated through these means and to whom?

5. Sustainability

- a) Do you think all the relevant and important risks were listed in the risk matrix included in the Prodoc, APRs/PIRs, Atlas Risk Management Module? Were the risks properly rated in terms of probability of occurrence and impact?

5.1 Financial Risks to Sustainability

- a) At this point, what is the likelihood of availability of financial and economic resources after the GEF funding ends? Are there income generating activities which can sustain project interventions? Other public or private funds?
- b) Will the communities be able to maintain infrastructure works after the project support ends? What has been done and what needs to be done to this end?

5.2 Socioeconomic risks to sustainability

- a) Are there any social or political risks that may jeopardize sustainability of project outcomes?
- b) What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?
- c) Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- d) Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future.

5.3 Institutional Framework and Governance risks to sustainability

- a) Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits?
- b) Are required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place?

5.4 Environmental risks to sustainability

- a) Are there any environmental risks that may jeopardize sustenance of project outcomes?

INTERVIEW CHECKLIST

Applicable to: i) Members of the CCAP Project Board

Name of the Interviewee		Date	
Position/Title		Time	
Department/Section/Unit		Persons present	
Location			

1. General

- a) Were you able to participate in any workshop or field activity of the project since its start?

6. Project Strategy

6.1 Project Design

- a) How does the project address country priorities? Was the project concept in line with the national sector development priorities and plans of the country?
- b) Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- c) Were there any critical gaps in the design of the project, which were not addressed?
- d) Have significant changes of interest happened in the country/local/global context since the design of the project? Do they support or undermine the objective of the project?
- e) If there are major areas of concern, recommend areas for improvement.
- f) How has CCAP contributed to CCA agenda in Afghanistan in the broader context?

6.2 Results Framework/Logframe

- a) Are the project objectives, outcomes, and components clear and practical? Can they be achieved within the stipulated time frame?
- b) Did the project logframe capture intended or desired results adequately? If not, what needed to be changed?
- c) How has the logframe been used to monitor results of the project and bring about course corrections?

7. Progress Towards Results

7.1 Progress Towards Outcomes Analysis

- a) Has anyone in your Ministry/organization received training from CCAP on climate risk information and response? How have they used the information? Did this training help the Department? How? Does this training have any link with provincial annual work plans and Community Development Plans?
- b) How do you view livelihood work done especially with women? Did poor women benefit from livelihood options created by the project? Are the livelihood options likely to increase income of women and their households?

- c) Has retention of rain water and irrigation infrastructure improved in the target villages? Please provide examples of the improvements/likely improvements in the lives of the people.
- d) Has the availability of drinking water improved in the target villages? Please give examples.
- e) How do you see the improvements in the rangelands due to project's efforts to restore and rehabilitate? Is it effective and sustainable?
- f) Have incomes of rural communities been diversified or being diversified due to the work of the project including irrigation infrastructure?
- g) Identify, if possible, legal, cultural, or religious constraints on women's participation in the project.
- h) What can the project do to enhance its gender benefits?
- i) Is there any potential negative impact on gender equality and women's empowerment? What can the project do to mitigate this?
- j) What are the areas of strength of CCAP in terms of achievement of results? What contributed to good achievements?
- k) Where has CCAP fallen short of expectations in terms of results? What are the barriers to achievement?
- l) Do you see any issues in achieving all the results of the project end?

8. Project Implementation and Adaptive Management

8.1 Management Arrangements

- a) Are the management arrangements in the project document adequate, clear, and effective? Would you like to propose any changes based on the project experience so far?
- b) Is decision making transparent and timely? Any recommendations?
- c) What do you think about the quality of execution by MAIL? And participation by other partners such as MRRD, NEPA, MEW, etc.?
- d) What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?
- e) How has the project been supported by UNDP and GEF? Areas for improvement?

8.2 Work Planning

- a) Has project faced any delays in startup? What have been the causes? What has done to resolve the issues?
- b) Have there been any issues in the preparation of annual work plans? Are the plans sufficiently disaggregated by province and district?

8.3 Finance and Co-Finance

- a) Have funds been reallocated due to budget revisions? Why those reallocations were necessary?
- b) How has project strived to make project interventions cost-effective? Are project interventions more cost-effective than other similar projects in Afghanistan?
- c) What are the financial controls in place to reduce error and fraud, ensure timeliness, and ensure quality of information? What is the level of compliance with the financial controls?
- d) Has project received the co-financing envisaged at the start of the project? What efforts have been made to ensure financing and align with objectives of the project?
- e) How has the co-financing been used by the project?

8.4 Project-level Monitoring and Evaluation Systems

- a) Do M&E systems meet requirements of the Project Board? What needs to be improved?
- b) What is the follow-up process on monitoring and evaluation findings?
- c) Is M&E constrained by financial resources? Any suggestions?

8.5 Stakeholder Engagement

- a) What is level of acceptance of the CCA and project objectives among Government partners? What is the level of participation of the Government partners for efficient and effective implementation of the project?
- b) What has been the contribution of the project in building public awareness on climate change adaptation? Has this contribution helped the project?

8.6 Reporting

- a) Has the reporting been adequate to meet the reporting requirements of the Project Board?
- b) What has been done by the project to share lessons learned and ensure internalization of those lessons?

8.7 Communications

- a) How does CCAP maintain communication with its stakeholders? Is someone left out? What is feedback mechanism?
- b) Are the means of public awareness used by the project for CCA sufficient? Any suggestions?

9. Sustainability

- a) Do you think all the relevant and important risks were listed in the risk matrix included in the Prodoc, APRs/PIRs, Atlas Risk Management Module?

9.1 Financial Risks to Sustainability

- a) At this point, what is the likelihood of availability of financial and economic resources after the GEF funding ends? Are there income generating activities which can sustain project interventions? Other public or private funds?
- b) Will the communities be able to maintain infrastructure works after the project support ends? What has been done and what needs to be done to this end?

9.2 Socioeconomic risks to sustainability

- a) Are there any social or political risks that may jeopardize sustainability of project outcomes?
- b) What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?
- c) Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- d) Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future.

9.3 Institutional Framework and Governance risks to sustainability

- a) Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits?
- b) Are required systems/ mechanisms for accountability, transparency, and technical knowledge transfer in place?

9.4 Environmental risks to sustainability

- a) Are there any environmental risks that may jeopardize sustenance of project outcomes?

VILLAGE FGD CHECKLIST

Applicable to: i) Village Beneficiaries

With help from Provincial Task Team of CCAP, invite a group of 5-10 knowledgeable, active, and respected people from the community at a peaceful place. Participants should include selected CDC members, selected people who have been involved with the CCAP activities, youth, an elderly person, and a poor person. Where possible, invite women, especially female CDC members, to the FGD.

Introduce yourself and your companions. After that read the following introduction to the audience:

“This session has been requested as part of a review of the Climate Change Adaptation Project. Your feedback for the study will help us improve our work on the project. We guarantee that any information you share will not be traced back to the respondent. This session may take about two hours of your time.”

Then brief them about the rules of the FGD: i) All the participants should take part in the discussions. ii) Everyone should be allowed to describe his point of view fully and everyone’s opinion should be respected iii) No one should try to dominate the discussion.

Explain each question in local language with examples. After asking a question, let the group members discuss the question and responses with each other. Ensure that most of the members are participating in discussions. Encourage difference of opinion, as some members may hide opinions for the fear of community backlash after the FGD. The discussion should not focus too much on numbers; rather perceptions, opinions, fears, motivations, reactions, and commitments should be highlighted in the report of the FGD.

Please write “Not Applicable” if a question or probe does not apply to a specific village. Mention serial number of the probe for which the response is “Not Applicable”. For clarity, give a very brief reason why a question or probe is not applicable.

1. Identification

Province		Date	
District		Time	
Village		Persons present from project	
Interventions in the village			

10. Participants

Participants’ Information			
S/No.	Designation/position	Age	Gender
1			
2			

Participants ' Information			
S/No.	Designation/position	Age	Gender
3			
4			
5			
6			
7			
8			
9			
10			

11.General

- a) Have you heard about the GEF/UNDP/MAIL CCAP? What do you know about the project and how did you come to know about it?
- b) When did the MAIL project staff come to your village for CCAP activities?
- c) What has been done under CCAP in your village? Please list activities and works.
- d) Have you received any training or advocacy material to raise awareness about impact of climate change and ways to adapt?
- e) Do you believe that climate change can disturb your lives and livelihoods adversely?

12.Project Strategy

12.1 Project Design

- a) Are CCAP activities and works in line with your needs and priorities to cope with and adapt to climate change risks?
- b) Do project activities respond to the needs of women?
- c) How the project could have helped you better in coping with and adapt to climate change risks? What could be done better?

12.2 Results Framework/Logframe

13.Progress Towards Results

13.1 Progress Towards Outcomes Analysis

- a) Has anyone in your village received training from CCAP on climate risk information and response? How have they used the information? How? Does this training have any link with Community Development Plans?
- b) How do you view livelihood work done especially with women? Did poor women benefit from livelihood options created by the project? Are the livelihood options likely to increase income of women and their households?

- c) Has retention of rain water and irrigation infrastructure improved in the target villages? Please provide examples of the improvements/likely improvements in the lives of the people.
- d) If applicable, has the availability of drinking water improved in the target villages? Please give examples.
- e) How do you see the improvements in the rangelands due to project's efforts to restore and rehabilitate? Is it effective and sustainable?
- f) Have incomes of rural communities been diversified or being diversified due to the work of the project including irrigation infrastructure?
- g) Identify, if possible, legal, cultural, or religious constraints on women's participation in the project.
- h) What can the project do to enhance its gender benefits?
- i) Is there any potential negative impact on gender equality and women's empowerment? What can the project do to mitigate this?
- j) Where has CCAP fallen short of expectations in terms of helping villagers? What are the barriers to achievement?

14. Project Implementation and Adaptive Management

14.1 Management Arrangements

- a) What is the mechanism or institution through which CCAP works with the village?
- b) Does the village have a Self-Help Group (SHG) organized by CCAP? Who and how many are the members? How was the group organized? Is the Group working well?
- c) What is the process for selection of beneficiaries of livelihood interventions?
- d) How are the infrastructure sub-projects selected?
- e) What is the process for procurement of materials and supplies, construction supervision, and quality assurance of infrastructure sub-projects?

14.2 Work Planning

- a) Does the village have a Community Development Plan? Please show a copy if possible.
- b) Has the village revised the Community Development Plan after receiving training and awareness on climate change from CCAP? What has been changed?
- c) If the Community Development Plan has not been changed, when will it be changed?
- d) How many farmers (men and women) in the village have got training on climate risk and response? What did they learn? Do they teach their learning to other farmers?
- e) How are training and productive inputs related to livelihood delivered to selected beneficiaries? Men and women?
- f) Has any small or medium enterprise in the village received support from the project for capacity building and expanding business? Who runs this enterprise?

14.3 Finance and Co-Finance

- a) Is the construction work done by CCAP in the village undertaken with an effort to minimize costs? What has been done to keep the costs low? Does quality justify costs?
- b) What is the say of the village on the quality and cost of the completed construction works?

14.4 Project-level Monitoring and Evaluation Systems

- a) What system is used to collect and process monitoring and progress data from the village? Who reports progress and implementation issues to CCAP?
- b) How does CCAP follow-up on monitoring and evaluation issues highlighted by the village?
- c) Can monitoring of selection of beneficiaries, selection of sub-projects, sub-project location, procurement of livelihood and construction goods for the village, distribution of livelihood inputs, and construction supervision be improved? Please explain?

14.5 Stakeholder Engagement

- a) Are project activities favored by the villagers? Both men and women?
- b) What is the level of participation of the men and women of the village for efficient and effective implementation of the project? Are poor people given priority for livelihood activities?
- c) Who are the major beneficiaries of the CCAP activities in the village? Men, women, poor, farmers, landless?

14.6 Reporting

14.7 Communications

15.Sustainability

- a) Do the villagers have sufficient technical know-how to maintain and operate the infrastructure works (such as irrigation canals) on their own without technical help from CCAP?

15.1 Financial Risks to Sustainability

- a) Will the community be able to maintain livelihood activities and infrastructure works after the project support ends? What has been done and what needs to be done to this end?

15.2 Socioeconomic risks to sustainability

- a) Are there any social or political risks (conflicts, insecurity) in the village that may jeopardize sustainability of livelihood activities and infrastructure works?

15.3 Institutional Framework and Governance risks to sustainability

15.4 Environmental risks to sustainability

- a) Are there any environmental risks that may jeopardize sustenance of livelihood activities and infrastructure works?

Annex VIII. MTR mission itinerary

Date	Activity
16 July 2017	Arrival in Kabul
17-19 July 2017	SSAFE Training of MTR Consultant in Kabul
20-30 Jul 2017	Meetings in Kabul, preparations for field visits
31 Jul 2017	Field visit of Panjshir Province
1-5 August 2017	Meetings in Kabul and preparations for field visits
6-8 August 2017	Field visit of Herat Province
9 August 2017	Meetings in Kabul and preparations for field visits
10-13 August 2017	Field visit of Herat Province
14-16 August 2017	Wrap-up presentations to UNDP and CCAP
17-23 August 2017	Visa issues
24 August 2017	Departure from Kabul

Annex IX. List of persons and groups interviewed

A. Person met in Kabul

Name of Person(s) Met	Title/ Designation of Interviewee(s)	Department/ Section/ Unit	Organization	Date/ Time	Venue	Type of Meeting
A. Consultations in Kabul						
1. Arrival in Kabul				16 Jul 17		
2. Security briefing				16 Jul 17 2:30PM		
3. 3 Day SSAFE Training of the MTR Consultant				17-19 Jul 17	UNAMA Bunker, UNOCA Compound	
4. Hiroshi Takabayashi Shabbir Kabirzad,	Head of Knowledge Management Disaster Risk Analyst (Lead Engineer)	Knowledge Management Unit Project for City Resilience	UN-Habitat	20 Jul 17 9:00AM	UN-Habitat Office	Interview
5. Najia Kharoti	Advisor to Minister MRRD	MRRD	MRRD	22 Jul 17 9:30AM	MAIL Office	Interview
6. CCAP Team • Daud Rahimi • Shoaib Khaksari • Wahidullah Sadiqi, • Ahmad Zia Akhtar • Amanullah Sarfaraz • Freshta Safi • Daud Nabi, • Zabihullah Sharifi • Hamidullah Hami, • Shabnam Soha	• Programme Director, • Project Manager, • Sr. Irrigation Engineer, • Sr. Livelihood Specialist • Sr. Admin Officer, • Sr. HR Officer • MIS/IT Officer • Contract Mgt. Specialist • Internal Control Officer • Finance Officer	CCAP Kabul Team	MAIL	22 Jul 17 10:00AM	MAIL Office	Presentation and Group Interview
7. Suman Sijapati	Chief Technical Advisor	Irrigation	FAO/MAIL	22 Jul 17 2:30PM	MAIL Office	Interview
8. Asadullah Zamir	Minister of Agriculture, Livestock, and Irrigation		MAIL	22 Jul 17 3:00pm	MAIL Office	Interview
9. Qasim Haidri	Acting Minister		Afghanistan National Disaster Management Authority	24 Jul 17 9:00AM	ANDMA Office	Incomplete Phone Interview
10. Yasuyuki Misawa, Siddique Amin	Deputy Head of Programme; Emergencies and Humanitarian		World Food Programme	25 Jul 17 9:00AM	WFP Office	Interview

Name of Person(s) Met	Title/ Designation of Interviewee(s)	Department/ Section/ Unit	Organization	Date/ Time	Venue	Type of Meeting
Bilal Stanikzai	Aid; AC/DRR Officer					
1. Laura Rio; Mohammad Salim	Head of the Unit; Programme Analyst	Livelihood and Resilience Unit	UNDP Afghanistan	25 Jul 17, 4:30AM-6:30PM	UNDP CO	Interview
2. Dirk Snyman; Alec Knuerr	Climate Science Specialist Deputy Country Manager	Post-Conflict and Disaster Management Branch Ecosystem Division;	UNEP	25 Jul 17 5:00PM 8 Aug 17 6:00PM	UNDP Office UNOPS Guest House	Interview
3. Reis Lopez Rello; Sirintharat Wannawong	UND-GEF Regional Technical Advisor; Programme Associate	UNDP Regional Office, Bangkok	UNDP	26 Jul 17 11:30AM	Skype	Interview
4. Arvind Kumar	Senior Programme Manager		Focus Humanitarian Assistance	26 Jul 17 3:00PM		Interview
5. Naim Eqrar	Professor	Geosciences Faculty	Kabul University	2 Aug 17 9:00AM		Interview
6. Wali Modaqiq	Deputy Director General		National Environmental Protection Agency	5 Aug 17 2:00AM	NEPA Office	Interview

B. Person met in Provinces

Date	Area	Activity	Name	# of Participants	Venue
		Panjshir Province			
31-Jul-17		Travel to Panjshir			
31-Jul-17	Panjshir City	Meeting with Director DAIL		5	DAIL Office
31-Jul-17	Panjshir Province	Meeting with Field Coordinator	Sulaiman Watanyar		During travel
31-Jul-17	Bazarak District	<ul style="list-style-type: none"> Site visit of Bioclimatic cold store; FGD with cold store beneficiaries FGD with Food Processing Women Self-Help Group 		8 10 3	Malaspa Village
31-Jul-17	Panjshir City	<ul style="list-style-type: none"> Meeting with CCAP Livestock Officer; Meeting with CCAP Engineer; Meeting with Social Organizer; 	Abdul Qadeem Muhammad Fahim Rohafza		CCAP Task Team Office, DAIL
31-Jul-17	Rokha District	<ul style="list-style-type: none"> Site visit of greenhouse and cold store FGD with greenhouse beneficiaries 	8 4		Abdawa Village

Date	Area	Activity	Name	# of Participants	Venue
		<ul style="list-style-type: none"> FGD with Food Processing Women Self Help Group 	5		
31-Jul-17		Travel back to Kabul			
		Herat Province			
6-Aug-17		Travel to Herat from Kabul			
6-Aug-17	Herat City	Presentation by CCAP Task Team Herat <ul style="list-style-type: none"> Field Coordinator Livelihood Officer Design Engineer Monitoring Engineer 	<ul style="list-style-type: none"> Vacant Ehsan Razipoor Soroush Rahimi Mir Waiz 	15	CCAP Task Team Office, DAIL
6-Aug-17	Herat City	Group Discussion with CCAP Task Team and DAIL Irrigation and M&E Staff <ul style="list-style-type: none"> Head of Irrigation, DAIL M&E Manager, DAIL 	CCAP Task Team <ul style="list-style-type: none"> Ghulam Muhammad Asim Javed Habibi 	12	CCAP Task Team Office, DAIL
6-Aug-17	Herat City	Meeting with NRM Specialist, NEPA Herat	Ayatullah Farhat	7	NEPA Herat Office
7-Aug-17	Injil District	<ul style="list-style-type: none"> Site visit of greenhouse and food processing enterprise FGD with beneficiaries of the greenhouse and food processing enterprise 	Halima, SHG Group Leader	7 8	Saripul Qizah Village
7-Aug-17	Zindajan District	<ul style="list-style-type: none"> Site visit of Safar Khan Canal FGD with beneficiaries of Safar Khan Canal 		7 15	Safar Khan village
7-Aug-17	Zindajan District	<ul style="list-style-type: none"> Site visit of Qala Nawak Safar Khan Canal FGD with beneficiaries of Qala Nawak Safar Khan Canal 		7 14	Safar Khan village
7-Aug-17	Herat City	Meeting with Director MoEW	Engineer Noor Ahmad Bauzar	4	MoEW Office
8-Aug-17	Herat City	Meeting with Regional Coordinator DACAAR	Abdullah Raziq Kiani	3	DACAAR Office
8-Aug-17	Herat City	Meeting with Director, DRRD	Aqa Mohammad Sediqqi	5	DRRD Office
8-Aug-17	Herat City	Meeting with Technical Extension Officer, DAIL (CCA Trainee)	Abdul-Sattar Frotan	3	CCAP Task Team Office, DAIL
		Travel back to Kabul			
		Balkh Province			
10-Aug-17		Travel from Kabul to Mazar Sharif			
10-Aug-17	Mazar Sharif City	Presentation by CCAP Task Team and Group Interview <ul style="list-style-type: none"> Field Coordinator Irrigation Design Engineer Livelihood Officer Field monitor/engineer Community mobilizer Admin/Procurement officer 	<ul style="list-style-type: none"> Vacant Mohammad Naseem Mohammad Jawad Abdul Qados Zulaikha Mohammadi Najibullah Ataie 		CCAP Task Team Office, DAIL

Date	Area	Activity	Name	# of Participants	Venue
	Mazar Sharif City	Meeting with CCA Trainee, Engineer Irrigation Department, DAIL	Nejibullah Begzad		CCAP Task Office, DAIL
10-Aug-17	Mazar Sharif City	Meeting with Field Monitor, World Food Programme, Mazar Sharif	Ismail Ghareeq	3	WFP Mazar Sharif Office
11-Aug-17	Mazar Sharif City	Meeting with representative of Joi Borj CDC running Ayaran greenhouse and food processing group	Abdul Khalil Balkhi	4	CCAP Task office, DAIL
11-Aug-17	Khulm District	<ul style="list-style-type: none"> Site visit of Jarandi Drip Irrigation and Plantation sub-project with contractor FGD with beneficiaries of the Plantations 	8	8 13	Jarandi Village
11-Aug-17	Dehadi District	<ul style="list-style-type: none"> Site visit of greenhouse FGD with beneficiary SHG 		6 8	Tokhta Village
11-Aug-17	Dehadi District	<ul style="list-style-type: none"> Site visit of greenhouse FGD with beneficiary SHG 		6 10	Kar Malik Village
12-Aug-17	Mazar Sharif City	Meeting with Director DAIL	Serajuddin Mehraban	5	DAIL Office
12-Aug-17	Mazar Sharif City	Meeting with Head of Programmes, DRRD	Folad Sazawar	4	DRRD Office
12-Aug-17	Mazar Sharif City	Meeting with Director, NEPA	Gholam Nabi Khorami	4	NEPA Office
12-Aug-17	Nahr-e-Shahi District	<ul style="list-style-type: none"> Site visit of food processing enterprise FGD with beneficiary women members of SHG 		15	Baba Yadgar Village

Annex X. Revised Results Framework (Logframe)

Result Statement	Indicator	Baseline	End target	Means of Verification	Assumptions
Objective (or Impact): Strengthened resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat provinces to manage climate change induced disaster risks	0.1. 55,000 of 526,085 total households in the 4 provinces who have benefitted from the Climate Change Adaption interventions (livelihood options and infrastructure) - annual indicator	0	55,000	Progress reports	<ul style="list-style-type: none"> Security situation remains stable Climate change remains moderate Ownership of the project objectives by Government and communities
	0.2. % average increase in wheat yield compared to (Baseline 2016) – annual indicator via Lot Quality Assurance Survey (LQAS)	2016 baseline	10%	Sample survey by CCAP	<ul style="list-style-type: none"> Crop input supplies and prices remain stable.
Outcome 1: Climate change risk and variability integrated into local planning and budgeting processes	1. Perceived awareness of Mail officials, DDA and CDC members enhanced on climate change risk and adaptation via interviews (Very Aware, Somewhat Aware, Not Aware)	Not Aware	Somewhat Aware	Interviews of trainees by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Reasonable capacity within relevant ministries
	2. Number of provinces and communities demonstrating use of integrated plans in implementation	Com 'ty:0 Prov 'l: 0	Com 'ty:15 Prov 'l: 3	Review of plans by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Ownership of the project objectives by Government and communities
	3. Number of provincial and community plans developed that incorporated gender dimensions	Com 'ty:0 Prov 'l: 0	Com 'ty:15 Prov 'l: 4	Same as above	Government ministries cooperate with each other.
	4. Number of policies, projects, technical documents and infrastructure designs referring the climate change scenarios developed by the project	0	5	Review of plans by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Ownership of the project objectives by Government and communities

Result Statement	Indicator	Baseline	End target	Means of Verification	Assumptions
				reports	
Output 1.1*: Training conducted on climate change risk responses	1.1. Number of MAIL officials, DDA and CDC members etc. trained on climate risk information and appropriate response measures -with gender disaggregated data	Women: 0 Men: 0	Women: 350 Men: 200	Progress reports; Training records	Availability of requisite human resource for project staff
Output 1.2: CCA incorporated in local plans and budgets	1.2. Number of community and sectoral provincial development plans in which climate change information and adaptation measure are incorporated	0	15; 4	Progress reports; Provincial development plans	Ownership of the project objectives by Government and communities
Output 1.3: Climate Change Scenarios prepared for provinces	1.3. # / 34 provinces for which a Climate Change Scenario report has been developed	0	34	Climate Change Scenarios report	
Outcome 2: Rural income and livelihood opportunities for vulnerable communities enhanced and diversified	2.1 Perceived improvements in income of beneficiary populations via FGD (expert opinion)	Women: 2016 level Men: 2016 level	Women: 10% Men: 10%	Interviews of beneficiaries by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Crop production factors outside the control of the project remain predictable
	2.2 Proportion of women Self-Help Groups perceived effective in productivity, equity, and sustainability via FGD (expert opinion)	0	50%	Interviews of beneficiaries by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	
	2.3 Perceived rehabilitation of rangelands as reported by beneficiary communities via interviews and FGDs(Yes/No)	2016 level	Yes	Site visits and interviews of communities by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Climate change remains moderate
Output 2.1: Training provided on alternative livelihoods	2.1. Number of men and women trained in alternative livelihoods to farming and on climate-resilient farming	0	Women:800 Men: 150	Progress reports; Training records	
Output 2.2: Livelihood generation facilities constructed	2.2. Number of greenhouses, underground storage facilities and rooms for making raisins constructed	0	80	Progress reports; Design and implementation records; Monitoring reports	
Output 2.3: Rangeland planted	2.3. Number of hectares of degraded	0	400	Progress reports; Planning and	

Result Statement	Indicator	Baseline	End target	Means of Verification	Assumptions
with stress resistant seedlings and protected.	rangelands planted with stress resistant seedling varieties			implementation records; Monitoring reports	
Outcome 3: Productive irrigation infrastructure rehabilitated and improved	3.1 Improved irrigation efficiency (% increment)	2016	20%	Site visits and interviews of communities, MEW, MRRD, and NEPA by MTR Consultant and Terminal Evaluation consultant; Monitoring reports by engineers; Progress reports	Climate change remains moderate
	3.2 Perceived increase in availability of water via FGDs (Adequate/Inadequate)	Inadequate	Adequate	Interviews of communities by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Effect of water related interventions by other ministries and NGOs remains predictable.
	3.3 Perceived decrease in damage and loss by floods and droughts reported by beneficiary communities via FGDs (Significant/Insignificant)	Insignificant	Significant	Site visits and interviews of communities by MTR Consultant and Terminal Evaluation consultant; Monitoring reports; Progress reports	Climate change remains moderate
Output 3.1: Disaster risk reduction structures created	3.1. Area of agriculture land protected from damage by floods in the targeted areas	0	800	Progress reports; Engineering design and implementation records; Monitoring reports	
Output 3.2: Productive Irrigation infrastructure construction and rehabilitation works completed	3.2. # of small-scale water reservoirs built and utilized	0	12	Progress reports; Engineering design and implementation records; Monitoring reports	Communities are receptive to the project.
	3.3. # micro-water harvesting structures built and utilized	0	4	Progress reports; Engineering design and implementation records; Monitoring reports	
	3.4. # of Karezes and canal systems improved and rehabilitated to reduce water losses and maximize diversions	0	28	Progress reports; Engineering design and implementation records; Monitoring reports	

Result Statement	Indicator	Baseline	End target	Means of Verification	Assumptions
	3.5. # of contour bunds built to control soil erosion, promote water retention and reduce risk of avalanches.	0	4	Progress reports; Engineering design and implementation records; Monitoring reports	
	3.6 Hectares of newly and better irrigated land due to CCAP interventions	0	10,000	Progress reports; Engineering design and implementation records; Monitoring reports	
Project Management, Monitoring, Learning, and Evaluation	1. Number of Project Board meetings held in time		10	Meeting minutes	Government ministries cooperate with each other.
	2. Number of lessons learned and documented via the project	0	3	Technical reports and Learning Notes	

Annex XI. CCAP Progress by Province

S. No.	Component/ Indicators	Balkh	Herat	Panjshir	Uruzgan
	Reporting date of progress numbers	30 July 17	30 July 17	30 Aug 17	30 Sep 17
	1 Component 1: CCA Integration				
1.1	Number of MAIL officials, DDA and CDC members trained on climate risk information and appropriate response measures	215	124	150	51
1.2	Number of community development plans in which in which climate change information and adaptation measures are incorporated	5	8	13	6
	2 Component 2: Livelihoods				
2.1	Number of men and women trained in alternative livelihoods to farming or climate-resilient farming	86	217	322	299
	Number of greenhouses, underground storage facilities, and rooms for making raisins constructed				
	Honey bee keeping		44		
2.2	Raisin rooms		6		2
	Greenhouses	24	10	15	16
	Solar dryers	120		100	350
	Underground storage	5		9	
2.3	Hectares of rangeland planted with stress resistant seedlings varieties	414	130	23	21
AWP2.2	Number of women Self-Help Groups established in target areas	11	8	8	8
	3 Component 3: Irrigation infrastructure				
3.2	Number of small-scale water reservoirs built and utilized			3	
		Drip irrigation, Rain water storage, Water supply			

S. No.	Component/ Indicators	Balkh		Herat		Panjshir		Uruzgan	
	Reporting date of progress numbers	30 July 17		30 July 17		30 Aug 17		30 Sep 17	
3.3	Number of micro water harvesting structures built and utilized	Rain water storage							1
3.4	Number of karezes and canal systems improved and rehabilitated to reduce water losses and maximize diversions								
	Karezes			Yes					
	Canals			Yes		2	600 meters		
	Intakes	Yes		Yes		1		6	
	Diversions								4
	Retaining walls/protection walls	Yes		Yes					3020 meters
4	Sub-projects	Initiated	Completed	Initiated	Completed	Initiated	Completed	Initiated	Completed
	CCA Integration	8	5	9	9	11	11	12	12
	Livelihoods	46	39	20	18	28	20	25	24
	Irrigation	18	8	15	4	13	3	11	3
	Total	72	52	44	31	52	34	48	39
5	Expenditure in USD million (as of 30 June 17)	1.48		0.76		0.7		1.12	

Annex XII. Signed United Nations Evaluation Group (UNEG) Code of Conduct form

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: Tarvir Hussain _____

Name of Consultancy Organization (where relevant): Not applicable _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Islamabad _____ (Place) on June 18, 2017 _____ (Date)

Signature: 

Annex XIII.MTR Final Report Clearance form

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____

Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____

Date: _____