

# *Final Evaluation Report*



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## **Nepal Climate Change Support Programme**

Final Evaluation Report 2019

# Acknowledgments

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Project Information		
Project title	Nepal Climate Change Support Programme	
Atlas ID	00066480	
Corporate Outcome	UNDAF/CPD Outcome 3: By 2022, Environmental Management, sustainable recovery, reconstruction and resilience to Climate Change and Natural Disaster, and resilience to Climate Change and Natural Disasters are strengthened at all levels.	
Corporate Output	CPD Output 3.4: Capacity of subnational government and communities strengthened for effective environment management, Climate Change Adaptation, Disaster Risk Reduction, particularly preparedness and response.	
Country	Nepal	
Region	South Asia	
Date project document signed	1 January, 2013	
Project dates	Start	Planned end
	Jan 2013	Dec 2019
Project budget	UNDP directly manage USD 9.52 m out of total -NCCSP phase I: DFID: 7m (Pound), EU: 8.6m (Euro), UNDP: 0.3m (Dollar) NCCSP I-TE: DFID- USD 2.67 m	
Project expenditure at the time of evaluation	USD 9,267,494	
Funding source	DFID/UK and European Union	
Implementing party	Ministry of Forests and Environment	
Evaluation Information		
Evaluation type (project/outcome/thematic/country programme, etc)	Project	
Final/midterm evaluation/review/other	Final Evaluation	
Period under evaluation	Start	End
	2013	2019 (NCCSP I Phase and NCCSP I-TE)
Evaluators	Laxmi Dutt Bhatta and Shalu Adhikari, PhD	
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## Acronyms

AEPC	Alternative Energy Promotion Center
COP	Conference of Parties
CRDPs	Community Resilient Development Projects
DDC	District Development Committee
DEECCCC	District Energy Environment Climate Change Coordination Committee
FGD	Focus Group Discussion
GESI	Gender Equality and Social Inclusion
GoN	Government of Nepal
GP	Gaun Palika
LAPAs	Local Adaptation Plan of Actions
M&E	Monitoring and Evaluation
MCCICC	Multistakeholder Climate Change Initiative Coordination Committee
MoFALD	Ministry of Federal Affairs and Local Development
MoFE	Ministry of Forests and Environment
MoSTE	Ministry of Science, Technology and Environment
NCCSP	National Climate Change Support Program
NP	Nagar Palika
OPM	Oxford Policy Management
PEB	Project Executive Board
PSC	Project Steering Committee
RF	Result Framework
TE	Transition Extension
ToR	Terms of References
UNDP	United Nations Development Program
VEECCCC	Village Energy Environment Climate Change Coordination Committee

## ***Executive Summary***

### ***Project Description***

The Nepal Climate Change Support Programme (NCCSP) was designed with the goal to ensure that the poorest and most vulnerable communities in Nepal are able to adapt to the negative effects of climate change. The objective of the project was to capacitate relevant policy and institutional stakeholders to achieve targeted goal while enabling with Nepal's commitment on climate change adaptation. The outcome statement of the project was enhanced capacity of the government (MoSTE and MoFALD) and relevant offices at regional and district level and non-government (NGOs, CBOs, women's organizations, private sector and communities) institutions to implement climate change policy, and most urgent and immediate adaptation actions to increase the resilience of climate vulnerable poor. The initial first 5 years until July 2017 is commonly called as NCCSP I Phase, it was then followed by transition extension until October 2019 implemented through Community Resilient Development Program (CRDP) with a focus on promoting climate resilient infrastructure development.

The final evaluation methodology consisted of review of project's relevant documents and other reports produced by the project and development partners followed various methods to collect and analyze the data and produced the report. The methods adopted include (i) review of project documents including but not limited to project design, progress reports, decisions, knowledge products, (ii) consultations with direct and indirect beneficiaries, (iii) key informant meetings, including with donors and government partners, and (iv) direct observation in the field. The following are the major findings, lesson learned, and recommendations drawn from the evaluation:

### ***A. Summary of Findings***

The Project has had substantial and significant efforts to mainstreaming adaptation options in line with Nepal's commitment to United Nations Framework Convention on Climate Change (UNFCCC) and the Paris agreement. It has achieved its objective at large on building local adaptation plan of actions (LAPA), building capacity of stakeholders on climate adaptive local planning system, and contributing to national policies and programmes on climate change. The project was also successful in leveraging municipal co-financing and building ownership of project results by the local government and the Government of Nepal (GoN). The commitments from the Government of Nepal/Ministry of Forests and Environment on building NCCSP's achievement to further strengthening resilience building and up-scaling has been well reflected in GCF proposals, NCCSP-phase II programme documents and other national programmes.

**Relevance:** The project was highly relevant and well designed to translate Climate Change Policy 2011 on the ground and timely to support Nepal's active participation on global climate discourse as a LDC.

**Effectiveness:** NCCSP implementation was satisfactory and effective in obtaining most of its targeted outputs as per plan despite that few outputs were not well packaged towards contribute the desired outcome.

**Efficiency:** The project was moderately efficient in mobilizing resources and managing project funds, including the efficiency of budget on treasury and the direct disbursement on CRDPs.

**Sustainability:** The project was satisfactory for its sustainability approach, as the project initiated local stakeholders' forum and concept of repair and maintenance funds,

**Partnership and synergies:** The project is moderately satisfactory. The project could have explored effective synergies and additionalities, including with private sector.

**Gender Equality and Empowerment of Vulnerable Groups:** The project is satisfactory in involving and addressing the needs and priority of women, *dalits*, and other vulnerable groups through LAPA implementation in the most remote Karnali and Far western region of Nepal.

## **B. Lesson Learned**

- Local Adaptation Plan of Action (LAPA) approach was instrumental for local level climate change adaptation planning. However, the concerns of vulnerable households regard to climate risk were not well addressed in CRDPs during the transition phase.
- The project would have contributed to strengthen Water-Energy-Food-Ecosystem nexus in the project areas in terms of water, energy, food and ecosystem security through design of resilience innovations though the project has had a number of interventions on water, energy, agriculture, forests, wetlands
- Collaboration with research institutions and universities for scientific documentation of good practices would benefit to suggest evidence based better policy options.

## **C. Recommendations**

### **1. Project Design and Government Ownership**

- Engage provincial government and its role in project planning and monitoring through relevant coordination and/or steering mechanism.
- MoFE recommended to work through Ministry of Federal Affairs and General Administration to build municipal capacities for climate change adaptation under new federal system of governance in Nepal.

### **2. Implementation modality and Fund Disbursement**

- Ensure municipal role in fund flow and monitoring of investment at the municipal level through creating a municipal level project fund management committee.

### **3. Effectiveness and efficiency**

- Government of Nepal recently endorsed LAPA framework. Within existing framework, a step by step operational guideline on LAPA formulation will help in ensuring coherency among various institution.
- The concept of climate resilient development and/or climate resilient infrastructure is relatively new at the municipal level. This is an urgent need to define and develop criteria and/or operational guidelines for resilience building/resilience development. What makes our development our resilience in Nepalese context?
- A systematic analysis of all possible projects with a concept of ensuring upstream-downstream linkages will benefit adaptation and resilience building at large.
- A clear guideline on operational and maintenance funds, and co-financing mechanism is highly recommended for efficiency and sustainability.

- Innovative adaptation options contributing to production and income generation should be given focus during the design of interventions. The evaluation team strongly suggests implementing production-based resilience innovations with special focus on women groups.
- There are number of good practices that the project has piloted ranging from livelihood options to alternative energy. However, the project lacks concrete out-scaling and up-scaling strategies for good practices. It is recommended to have out-scaling, up-scaling strategy for good adaptation and resilient practices.

The rating of the project in terms of OECD evaluation criteria are given in the below table.

***Evaluation Rating Table***

<b>Rating</b>	<b>Description of Performance</b>	<b>Rating/ Score</b>
<b>Relevance</b>	Overall, the project results demonstrate high degree of relevance. The institutional arrangement from Center to Field level is well designed and the donors contributed substantive resources in implementation of project components. The project success was highly recognized in COP meetings demonstrating Nepal's commitments to climate change adaption through community-based approaches. On the ground, project activities had good buyin of the beneficiary, inclusive benefit flow and high value.	HS (4)
<b>Efficiency</b>	The project followed an equitable financial and human resources strategy, The financial report does not discuss about efficiency of funds and governance mechanism in NCCSP I Phase	MS (2)
<b>Effectiveness</b>	Most of the output have been attained however, few outputs still needed to be packaged towards planned outcome.	S (3)
<b>Impact/ Results</b>	Project contributed to higher level results such as inputs to Climate Change Policy 2018; Nepal's experience about LAPA implementation shared at global and regional platforms and UNFCC meetings; project results helped address negative impact of climate changes and project objectives were realized	S (3)
<b>Sustainability</b>	The activities on the ground have indicated medium to good potential to sustainability at the local level however, the financial, institutional and environmental sustainability indicators not established. The state restructuring under new federal system of governance in the country impacted the continuity of LAPA initiatives. After the new federal structure was formalized, the project collaborated with the Palikas to work on CRDPs which laid strong foundation for climate resilient development planning and implementation at the local level funded by local resources. laid by TE and give continuity of these initiatives by Palikas by allocating financial resources in their coming fiscal year for completion of initiatives of CRDPs.	S (3)
<b>Gender and Social Inclusion</b>	Project strategy ensuring 50% of beneficiaries are women, poor, and marginalized community was successful with representation of 46% of women in decision making at local level. LAPA interventions supported to generate additional income for women, dalits and indigenous communities. It would have been good had the project formulated GESI sensitive vulnerability assessment tool	S (3)
<b>Financing and Co-</b>	The project was implemented as NIM with project budget reflected in RED BOOK but managed outside the treasury through a dedicated	S (3)

<b>financing</b>	account jointly managed by UNDP and the Government. Overall financial achievement of the project is 98%. All CRDPs were co-financed by the local Palikas in the ratio of 10-15% of total costs of CRDPs. The evaluation team by mandate only looked at 20% of the total project funds channeled through UNDP.	
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*Notations and Score HS: Highly Satisfactory (4); S: Satisfactory (3); MS: Moderately Satisfactory (2); NS: Not Satisfactory (1):* The total score is divided by 28 (7-factors\*4-highest ranking) and multiplied by 100% to get the overall ranking of the Project.

For overall ranking of Project, the evaluation rating (for achievements) used as Highly Successful (76-100%), Successful (51-75%), Moderately Successful (26-50%) and Not Successful (up to 25%)

***The overall Project ranking is Successful***

# **1. INTRODUCTION**

## **1.1 Background**

The recent Intergovernmental Panel on Climate Change (IPCC) report indicates that human influence in climate system is clear and recent anthropogenic activities contributing to greenhouse gas emission is highest in history, increasing the likelihood of severe impact on ecosystem and human wellbeing. Adaptation and mitigation need immediate priority and contribute to resilience pathways for sustainable development. While global assessment ranked Nepal as fourth most vulnerable country based on climate risk index, Nepal's commitment towards adapting such negative impacts, and mitigating the impact has been widely discussed, including in its present climate change policy. Nepal, as conference of parties, to the United Nations Framework Convention on Climate Change (UNFCCC) and Paris agreement, committed to contributes to the fullest to reduce its fullest actions to mitigate and adaptation to changing climate while analysis current vulnerability and climate risks in the country.

In order to address impacts of climate change, Government of Nepal/ Ministry of Forest and Environment initiated Nepal Climate Change Support Programme (NCCSP) in 2013, in collaboration with United Nations Development Programme (UNDP), developing and implementing local adaptation plans (LAPAs and ended in mid-July 2017. This extension phase supported 14 local governments in 14 districts in preparation and implementation of climate resilient development project in 2018/2019. The Government of the United Kingdom through its UKAid/DFID has provided the financial support to implement the CRDPs with technical assistance of UNDP.

With the completion of the project; UNDP Nepal, on behalf of the Ministry of Forests and Environment, Government of Nepal, carried out final evaluation of Nepal Climate Change Support Program. The final evaluation intended to suggest evidence-based and credible information and recommendation. The evaluation team adopted the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined, and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported projects and programmes. The evaluation analyzed and synthesized lessons to support and guide future design and implementation of similar nature of projects on climate change adaptation and resilience building.

## **1.2 Intended Audience of the evaluation**

The final evaluation intended primarily for four audiences; 1) the Core NCCSP stakeholders: Government of Nepal/Ministry of Forests and Environment, UNDP Nepal, and the donors (DFID, the EU); 2) Implementing partners of NCCSP, including local governments and 3) Other relevant organization in general, engaged or/and implementing LAPA and resilience building in Nepal or local level adaptation programmes elsewhere in the world; 4) NCCSP Phase II implementing institutions and organizations. The evaluation team expects the report is useful for all audiences, and helpful in implementation of NCCSP phase II and community based adaptation programmes in Nepal.

## **1.3 Organization of the report**

This final evaluation report consists of eight major sections. The first section deals with the context of the evaluation. The second section illustrates different type of interventions adopted by the

project and its implication in supporting climate resilient initiatives and planning for best adaptive measures in the local context. The detail of evaluation scope and objectives are included in third section, while the fourth section includes the overall methodology of evaluation with study design, tools of data collection, mechanism and field selection. The fifth section describes the procedure used to analyze the collected data, also includes the data analysis gaps and limitations. The data are presented and their interpretations in relation to the objectives and achievement of the project are in the sixth section. The seventh section encloses the conclusion and recommendations from the evaluation. Finally, the lessons learned is included in eighth section of the report. In addition to this, executive summary is arranged in prefatory part whereas the additional information, checklist, questions used by the evaluation team, photo are organized in the annexes.

## 2. DESCRIPTION OF INTERVENTIONS

### 2.1 Project Description

The Government of Nepal/Ministry of Forests and Environment initiated Nepal Climate Change Support Programme (NCCSP) in 2013, in collaboration with United Nations Development Programme (UNDP). Its aim was to ensure the poorest and most vulnerable communities in Nepal were able to adapt to the negative effects of climate change.

The project had planned closure on Dec 2015. However, the programme was extended until October 2019 in two successive phases; in phase I between 2016 and 2017, there was no additional costs granted for the project extension; however, in phase II covering the period of 2018 and 2019, additional cost was ensured. (both extension phases are called transition extension – TE) UNDP signed agreements for both NCCSP phase I and TE with Government of Nepal (the Then, Ministry of Environment, Science and Technology) and Ministry of Forests and Environment. The total costs of the project managed by UNDP, including transition extension, was USD 9.52 including UNDP cash contribution of USD 513,479. The project expenditure as of November 2019 was USD 9.26 million. The commitments from the Government in the form of co- financing was satisfactory and instrumental in implementation of project activities (Figure 1).

The concept of Local Adaptation Plan of Actions (LAPAs) was introduced as a working approach to achieve intended result while capacitating local government on climate change adaptation. The initial phase (Jan2013- July 2017), focused on 100 village development committees covering 14 districts as a pilot initiative to address the most urgent and immediate needs to combat impacts of climate change, targeting poor, vulnerable and marginalized communities. After the initial phase ended on mid-July 2017, MoFE/GoN even continued partnership with UNDP as a transition project until NCCSP II was started at the end of 2019. During the transition phase of the project, coined with a state restructuring process linked to federalization, the project successfully collaborated with the 14 local governments in 14 districts in preparation and implementation of climate resilient development projects (CRDPs) in 2018/2019. The project supported the Palikas to select CRDPs out of the local government development plans which mostly included activities related to building irrigation facilities, road improvement, water supply, and landslide control.

**Program Outcome:** Enhanced capacity of the government (MoSTE and MoFALD and relevant offices at regional and district level) and non-government (NGOs, CBOs, women's organizations, private sectors and communities) institutions to implement climate change policy, and most urgent and immediate adaptation actions to increase resilience of climate vulnerable poor.

**Output 1:** 100 LAPAs (70 planned & 30 added after project started) implemented on time and on budget in ways that deliver effective adaptation services to the satisfaction of the most vulnerable

**Output 2:** Local and regional mechanisms to implement and promote scalable adaptation and resilience measures are put in place

**Output 3:** Institutional and financing mechanisms of the GoN established/ further developed for supporting CCA

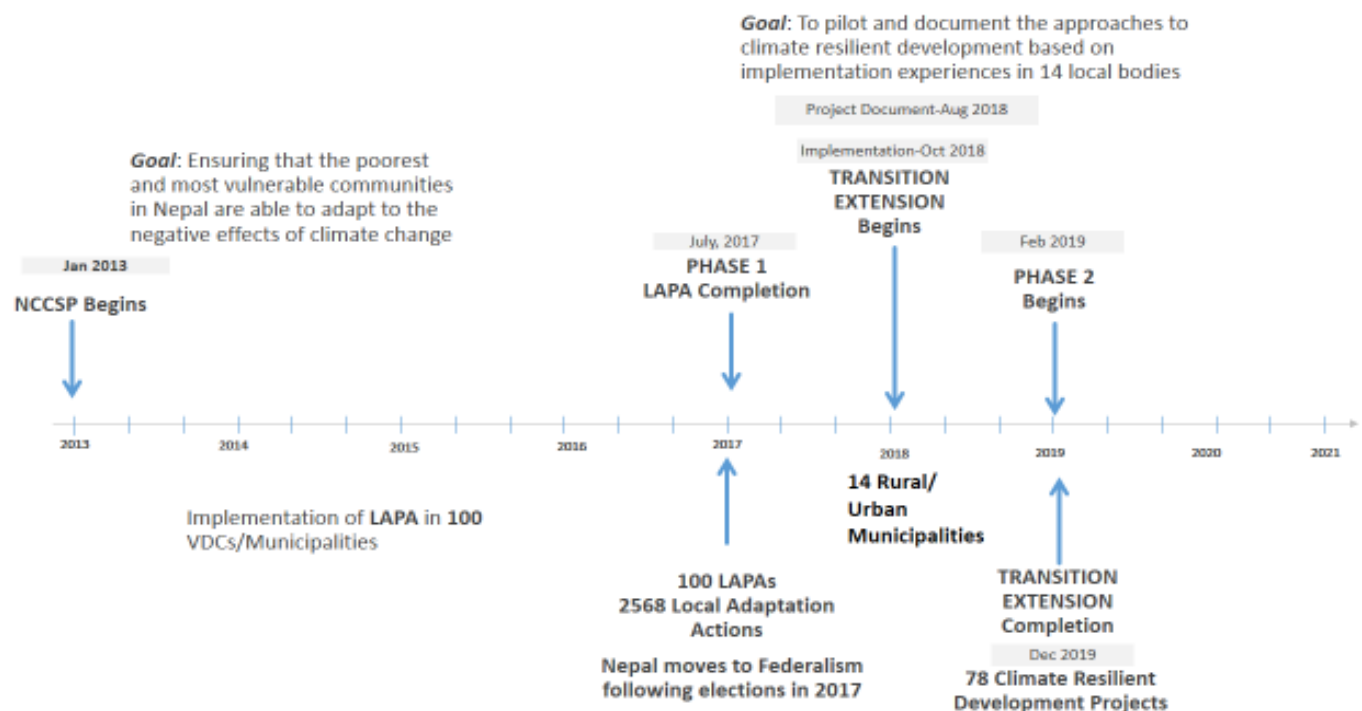
**The transition extension (TE) Outputs include:**

**Output 1:** To support the implementation of Climate Resilient Development Projects in 14 Palikas as identifies by Palikas and improve resilience of existing infrastructure through proper provision for maintenance or rehabilitation

**Output 2:** To develop and execute a suitable approach for capacity building of the selected 14 Palikas for Climate Resilient planning and implementation

**Output 3:** To support MoFE in formulation of climate resilient development strategies, frameworks and/or guidelines as relevant through documentation of learning and evidences

**Figure 1: Project Timeline**



## 2.2 Project Design and Major Implementation Constraint

The Nepal Climate Change Support Programme was designed to ensure the poorest and most vulnerable communities in Nepal are able to adapt to the negative effects of climate change. Making coherence with priority of Government of Nepal's climate change policy, the NCCSP also aimed to contribute a) outcome 7 and 3 of the UNDAF, and b) SDG 13: Climate action. The primary objective of the project was to capacitate government and no-government actors in dealing with climate change adaptation and resilience building.

The NCCSP was designed in close collaboration with the Government of Nepal (GoN) & stakeholders in line with the National Adaptation Programme of Action (NAPA).

During the project implementation period, Nepal adopted federal governance system. Nepal's new constitution (CoN 2015) adopted three tiers of governments. Elections were held during the project duration, and new municipal governments were in place. Under the state restructuring process, the earlier village development committees were federated into 753 municipalities which resulted into new boundaries of the local government units. With new governance structure at the

district level, the role of District Development Committee (DDCs), which were primary coordinating and implementing agency for NCSSP, was changed. Ideally, with new structure, DDCs are no more existed. This needs more efforts to coordination at the local level. The restructuring of district level line agencies also impacts NSCCPs' delivery. There was also uncertainty on processes, including financial disbursements, at the local government level. This greatly impact on NCCSP's delivery, which forced to slow down project implementation at the local level. At the meantime, central government was also restructured, which takes time to reorganize NCSSP.

In 2018, the steering committee adopted to reorganize LAPA based model to community resilience development project (CRDP) model to deliver planned activities in the project area. Number of locally identified projects were supported through CRDP, in close collaboration with municipal governments, with matching grants from municipal government.

## 2.3 Key Project Interventions and Achievement

The NCSSP interventions were planned with three major outputs whereas transition extension (TE) interventions were mostly focused on resilient infrastructure support and documenting key lessons and developing knowledge. Key project interventions included, a) capacity development b) support to local level planning process for mainstreaming adaptation and resilience priorities into development) identification of climate resilient infrastructure d) establishment of local level adaptation funds e) support national level policies, strategies and process guidelines on adaptation, and f) forging public private partnership on delivering effective adaptation planning. Detail Impact, Outcome, Outputs wise assessment is given in Annex 9a) and Annex 9b). The following table provides the summary of the project's key achievements.

<b>Project achievement highlights</b>	
<b>NCCSP Phase 1</b>	
<b>LAPA developed and implemented</b>	100 (99 VDCs and 1 municipality)
<b>Total projects executed</b>	2568 (Agri, Livestock and Food Security -998; alternative energy -117; Forest and Biodiversity-243; Climate disaster and Hazard mitigation-725; Capacity building- 117; Human health-215)
<b>Total Beneficiaries (population)</b>	615,000, out of which 376,400 were direct beneficiaries). Almost 50% female, 27% indigenous group/nationalities, 22% Dalit
<b>Transition Extension Phase (CRDP)</b>	
<b>Total project executed</b>	78
<b>Project Coverage</b>	14 Palikas, covering 3 provinces
<b>Total beneficiaries (population)</b>	91,000 (out of which 71,143 were direct beneficiaries); 51% female, 30% indigenous group, 17% Dalit
<b>Local contribution and matching support</b>	15% in kind contribution from local communities, 16% cash contribution from Municipal governments

## **2.4 Partners and Partnerships**

The NCSSP established partnership with the government, local municipalities, and non-government organizations. Majority of the activities were implemented through line agencies and village development committees at the initial phase and with municipal governments in TE phase. Majority of infrastructure projects were identified, prioritized and implemented through user group committees, representing direct beneficiaries of the project. Role of UNDP TA was crucial and found effective in leveraging partnership in project districts and municipalities. More importantly, the TA staff filled the gaps in local municipalities at the time of transition. However, partnership with other externally funded projects and institutions was limited, which was a missed opportunity to leverage additional resources for local level implementation.

The NCCSP was largely owned by the Government of Nepal both at central and field level under the guidance of the Ministry of Forests and Environment. The Central level project planning and decision making processes were largely guided by the Project Executive Board led by the Ministry of Forests and Environment. However, cross projects collaboration and partnerships was found limited. There is a great space for leveraging knowledge and good practices within government ministries and departments on adaptation and resilience building. For example, partnership with DFID supported Road Access Programme (RAP) could have been beneficial in Tribeni municipality of Bajura district.

Partnerships with private sector for effective adaptation options was envisioned by the project, which largely could not have materialized. The evaluation team was unable to assess such partnerships with private sector.

## **2.5 Cross Cutting Issues (Gender, Social Inclusion and Conflict sensitivity)**

The NCCSP aims to promote gender and social inclusion, and conflict sensitivity approaches as cross cutting issues in all of its activities and innovations. Understanding conflict sensitivity in the project working districts is crucial to manage possible conflicts in programme operations. Mainstreaming gender and social inclusion is found effective in overall project delivery. This has been taken considerations in 1) project identification 2) user group committees and 3) target beneficiaries. About 38% women were represented in user group committees whereas almost 50% of the targeted beneficiaries are women. Women participation in capacity development activities are effectively managed, ensuing about 35% representation. Conflict management was found considered in multiple ways, viz a) implementation of local prioritized and identified projects b) direct ownership and engagement of municipal governments and c) implementation of majority of infrastructure project through user group committees. Implementation of some of the projects through contractors and vendors created local conflicts which was mostly avoided at later stage of project implementation.

## **2.6 National Priorities and Policies**

NCSSP is the flagship and the first programme on climate change adaptation owned and directly implemented by the Government of Nepal primarily focusing on national priority on developing local adaptation plan of action (LAPA). The evaluation team found the project very successful in

bringing LAPA approach at the municipal and local level. One hundred LAPA were developed and implemented through local government with also contribution from the government. A consolidated LAPA framework is recently adopted by the Government of Nepal. The concept of repair and maintenance funds for sustainable financing is good move towards sustainability. The repair and maintenance funds needs further support and streamlining within the existing government policies. The project significantly able to create awareness on climate change adaptation at the local level, and significantly contributed to the local level planning making towards climate perspectives.

The project also made significant contribution on formulating national climate change policy, capacitating Government of Nepal on its position on climate change adaptation to international forums, including UNFCCC conference of parties. NCCSP contribution on National Adaptation Programme (NAP) is considered praiseworthy by the stakeholders.

## **2.7 Financial and Human Resources**

Total financial resources committed for NCCSP phase I by the donors, DFID and EU was 7m UK pound and 8.6 Euro respectively. Out of this financial commitments, USD 2.8 million was assigned to UNDP as TA support. Remaining finances were directly disbursed through government mechanism to local governments. DFID contributed USD 2.67 million additional financial resources for transition extension (CRDP) through UNDP. Additionally, UNDP cash contribution through its TRAC funds was USD 513,479. The scope of the evaluation mission was limited to assess finances on UNDP TA and TE components only. Ninety-eight percent financial progress is reported. Details of output wise financial progress is given in Annex 11.

Human resources allocation for NCCSP Phase-I included 59 project recruited staff and five government deputed staff, including National Programme Director and National Project Manager. Project recruited staff were stationed in central level programme coordination office (PCO), three regional offices and 14 Palika offices in field. The TE phase allocated 41 project staff, including national programme manager and were stationed in PCO-Kathmandu, regional office in Surkhet and 14 Palika offices. The evaluation team observed and acknowledge the hard work of field level staff, ensuring their contribution at the municipal level. The finest part of NCCSP staff at the municipal level is that they filled gaps of staff deficiency. The evaluation team also recommend better incentives for the staff working in hardship and remote areas. Details of Human resources allocation is given in Annex 10.

## **2.8 Institutional mechanism and arrangement**

The 17-member project steering committee (PSC) under the chair of the Secretary- responsible for climate change ministry (presently MoFE) was agreed in 2012, representing all relevant ministries and national planning commission (NPC). The PSC was responsible for strategic guidance for project programmes, and policies. However, effectiveness of this committee is largely based on meetings and endorsement of annual plan and progresses. At operational level, a project executive board (PEB) under the chair of joint secretary- responsible for climate change at the ministry level, with representatives from Ministry of Finance, Ministry of Federal affairs, UNDP and donor agency was agreed to provide supervision and guidance on implementation. The PEB is primarily responsible operational issues, and guiding projects on field implementation and ensure cross fertilization and coordination within and outside the government sector. One of the key issues in changing governance (federal) structure of Nepal is to engage provincial government's role in project execution. The evaluation team suggests to look further on such role in future project execution.

### **3. EVALUATION SCOPE AND OBJECTIVES**

#### **3.1 Purpose of the Evaluation**

The purpose of the evaluation was to assess the achievement of the project results, and to draw lessons and recommendations that can aid in the overall enhancement of future program designing and implementation. The principal question was: to what extent the Nepal Climate Change Support Programme has been able to support Nepal's poorest and most vulnerable communities to adapt with climate change effects?

The final evaluation adopted the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined, and explained in the UNDP Guidance. The specific objectives of the evaluation include:

- i. Assessment of achievements of project design, implementation, and project outputs and results, considering the relevance, effectiveness, efficiency and sustainability
- ii. Evaluation of impact and sustainability of results, including building communities' resilience to climate change, consideration of GESI/LNOB aspects, contribution to policy and planning framework, institutional framework, capacity building of the communities and the local government
- iii. Documentation of lessons learnt and provide recommendations and evidences to support design and implementation of similar projects in future

#### **3.2 Scope of the Evaluation**

Scope of the evaluation identifies the area and major issues of the project objectives. Evaluation of the projects which reflect the reasons for this evaluation and cover all aspects and activities of programs for the period of project agreement. At strategic level, evaluation covers; analysis of projects' context, planning and documentation, partnership and coordination were the main focus. While at the implementation level, project implemented by user committees and local agencies, possible leverage of partnerships and funds, and cross agency partnership were taken in consideration. This also included feedback from beneficiaries on their participation, role of local governments and agencies with respect to project support and sustainability of the project. Co-financing and compliance and monitoring and evaluation system were the major scope in relation to implementation level.

#### **3.3 Evaluation Criteria and questions**

Final evaluation team developed key questions that guided the assignment process for evaluating the programs' relevancy, effectiveness, efficiency, sustainability and impact. Beside these, some of the cross-cutting sectors including gender equality and social inclusion, and adaptive management were also analyzed. The evaluation review criteria and respective key questions are presented in Annex 4.

These questions/concerns guided the evaluation team in designing other specific questions that the evaluation addressed taking the learning achievement of the beneficiaries at the core of the assignment. All of the key questions were considered as cross-cutting questions applicable to the different respondents' groups as applicable.

## 4. EVALUATION APPROACH AND METHODS

### 4.1 Evaluation approach

The final evaluation report is prepared based on 1) review of project relevant documents including but not limited to project design, progress reports, decisions, knowledge products, 2) consultations with direct and indirect beneficiaries, 3) key informant meetings, including with donors and government partners, and 4) direct observation in the field. The approaches for the evaluation assessment was primarily based on;

- A. Participatory and inclusive:** The evaluation team adopted participatory, multi-stakeholder, multi-ethnic and multi-classes representation in the assignment process. This multi-perspective approach helped reflect the views and concerns of relevant stakeholders who are directly or indirectly related to the project.
- B. Effective communication:** Open communication with wide range of stakeholders through prior consents, planned meetings and briefings were maintained to collect required information. Since, the Provinces where NCCSP I Phase and NCCSP I-TE implemented, are diverse in terms of culture, language, religion, henceforth the team ensured that communication was effective, and language was not a barrier to the communication.
- C. Disclosure and verification:** The team used this approach to ensure the transparency of the findings and to develop the ownership and ensure the accountability. During this process, confidentiality was maintained and was not disclosed without the full consent of stakeholders.
- D. Quantitative and qualitative analysis:** For this approach, the team used both parametric and non-parametric data both from the field and desk review, as both data compliment to each other. This approach helped in identifying the current situation, gaps, opportunities and lessons learnt that are prevalent at local institutions in implementing the NCCSP program on climate change adaptation and capacity building for resilience.

### 4.2 Evaluation methods

The evaluation team adopted following methods and methodology, but not limited to, to collect both quantitative and qualitative data required to assess and evaluate the project results.

- A. Desk review:** A detail review of related project documents was undertaken to understand project log frame, theory of change, anticipated result, implementation modality and institutional arrangement. A data collection protocol was proposed to obtain quantitative, qualitative and objective data for systematic analysis within the given time frame. Desk review also included government relevant plans and programme to understand project's anticipated results and to analyse its coherency with the government policies and programmes. The list of project documents that were reviewed by the team in included in the Annex 6 of this report.
- B. Field visits:** A week-long field visit was undertaken by the final evaluation team to carry out field level impact assessment, consultations and meetings with beneficiaries, and local governments. Preset of questions (presented above) was administered for focus group

discussions, and consultations. Direct observation of implementation activities was the key method to understand project investment and success.

**Field site selection and criteria (sampling method):** The project has its coverage in 14 municipalities (14 districts), covering three provinces and all three physiographic regions (Mountain, Hill and Terai) of the country. The evaluation team adopted **purposive random sampling**. All three districts were purposively selected in order to ensure physiographic and provincial representation. While designing sample, the team considered below key argument in order to minimize biasness, and statistically valid. However, the team is aware of the project investment in Karnali region is the highest in terms of coverage and financial investment. The team considered that, the risk and biasness would be reduced adopting earlier mission and field reports. The key criteria for sample design considered,

- Geographical representation (Mountain, Hill and Terai)
- Provincial representation (Sudur Paschim, Karnali, and Province 5)
- Frequency of earlier mission/field visit (Here, team reviewed such mission reports)
- Available time (given the remoteness, and short available time)
- Investment and coverage (For example, while reviewing project mission reports- we found there were very limited project mission in Dolpa)

Based on above criteria and sample design, following three district (one palika in each district) were selected:

Province	District	Palikas	Physiographic zone
5	Dang	Gaduwa GP	Tarai
Karnali	Dolpa	Tripura Sundari NP	Mountain
Sudur-Paschim	Bajura	Tribeni NP	Mid-hills

The team observed all possible project interventions in selected municipality such as small scale irrigation canal support, rural road retention support and plantation, retention gabion wall, climate-smart agriculture support. The guiding questions for beneficiaries consultations are presented in Annex 8(a). While the site visited as individual case is presented in Annex 1.

**Focus Group Discussion (FGD):** Besides consultative meeting with municipal authority and stakeholders, **two** focus group discussions (FGDs), including one particularly with women group at Gaduwa GP was done. The guiding questions used during FGD is included in Annex 3.

**C. Consultation and Consultative interviews:** The evaluation team conducted pre field visit and post field visit consultative meetings with relevant stakeholders at the central level. Pre-field visit consultative interview were targeted for those authorities/specialists involved in project design. The team repeated post field visit consultative meeting with the same group to validate field learnings. Besides, post field visits interviews were also conducted with high level government officials at the Ministry of Forests and Environment. List of individual and

institutions for central consultative meetings is presented in Annex 7. List of people interviewed and discussed is included in Annex 5.

**D. Case studies:** Three case studies were undertaken to reflect the representative cases on climate resilient development interventions. The cases are included in Annex 1.

**E. Limitation of the methodology:** During the evaluation, the required coverage of districts with regard to field verification and beneficiaries' interactions could not be covered. Since the termination of NCCSP I Phase took place two years ago, there was the limited institutional memory, high level government officials that previously led the project were transferred to other institutions, and this has created a gap for evaluation. The baseline and end line information of the project could not be accessed and assessed, creating gap for evaluation. In addition to this, most of the field officials has been working for NCCSP II phase for another institution, connecting them was difficult and made difficulty in showcasing NCCSP I phases initiatives at the ground level. Therefore, the team was not able to get required set of information and had to rely on secondary information of NCCSP I Phase.

**F. Evaluation team composition:** The external evaluators for the project include; a) Laxmi Dutt Bhatta- Team Leader and b) Shalu Adhikari, PhD- Team Member. ToR of evaluation is attached in Annex 2.

## **5. DATA ANALYSIS**

The evaluation report is primarily based on qualitative analysis. All the reflections, feedback and suggestions were triangulated through various discussions both at central and field level. Open ended guiding questions were used to obtain stakeholders response on different facets of project interventions, including effectiveness, up-scaling and out-scaling. The stakeholders' response was categorized in different category of project evaluation and presented as qualitative analysis throughout the report. Quantitative data are mostly obtained from secondary sources such as project document, progress report, field mission reports, and mid-term review reports and analyzed, wherever possible, using Microsoft Excel. Field observations on infrastructure projects are captured in photographs and presented as photo plates in Annex 12.

The analysis includes, below key methods:

### **1. Perception analysis**

Perception analysis is carried out based on a) key informant interviews, and b) Focus Group Discussions (FGDs). This provides stakeholders perceptions on achievements, challenges, opportunities and learning.

### **2. Content analysis**

Content analysis is carried out using simple logic methods considering the programme assumptions and risk. Three representative cases on climate resilience infrastructure development are analyzed and presented.

### **3. Quantitative data**

All quantitative data received from project management system are analyzed using Microsoft Excel wherever needed.

### **4. Triangulations**

All quantitative and qualitative data are triangulated at various level, both in field and the center based on their relevancy and appropriateness.

### **5. Interpretations and recommendations**

Based on available data, both quantitative and qualitative, analyzed, the evaluation team interpreted the outcome and recommendations are made.

## 6. FINDINGS

The presentation of the overall findings is based on the OECD's evaluation criteria: Relevance, Effectiveness, Efficiency, Impacts/Results, Sustainability and cross-cutting sectors including the GESI and Adaptive management.

### 6.1 Relevancy of the project

Nepal, as conference of parties, to the United Nations Framework Convention on Climate Change (UNFCCC), and later to the Paris agreement, committed on mitigating negative impacts on climate change, and also adopting possible adaptation measures. The Climate Change Policy of Nepal further endorsed its global commitments on climate change. As a reason, Nepal endorsed various programmes, including climate budget code, as its national priority. The National Adaptation Programme (NAP) identified eight thematic areas with three cross cutting issues where climate change issues are well discussed and streamlined. The NCCSP is, therefore, very relevant programme contributing to national priority and policies of Nepal on climate change. Further, NCCSP has been crucial to bring climate change issues at the local and municipal level at the time when climate change is just being discussed in the country. The concept of LAPA is mainstreamed within municipal planning system and local governments were capacitated to ensure climate adaptive planning.

#### *Relevancy Scoring: Highly Relevant*

##### 6.1.1 Analysis of design of the project

With the preparation of NAPA document in 2011 and the LAPA framework by then MoSTE the NCCSP was designed to addresses the negative impact of climate change and build capacity of wide range of actors. Project then supported to implement LAPA at the local level for the implementation of adaptation measures to address the negative impact of climate change on lives and livelihoods. This also provided opportunity to aware a large rural mass on the issues and concern of climate change in most climate vulnerable districts of Karnali region in Nepal. On the broader picture, the project supported GoN in fulfilling the obligation of the UNFCCC. The focal ministry (then MoSTE) implemented the project activities and took ownership of the project results, which is highly appreciated. LAPA implementation is a multi-institution approach and collaboration, therefore, this project brought synergy and collaboration amongst cross sectors such as forests, agriculture, women development, energy, irrigation etc. for the implementation of the project.

The reviewers have analyzed the project design by dividing it in to two parts: 1) Program or Content; and 2) Institutional arrangements. The review found that the content- the substantive element of the project- is based on the needs and priorities of the local people and other stakeholders in those vulnerable districts. NCCSP I (2013-2017)'s LAPA approach was successful in building capacities of communities to identify and implement priority adaptation options. After the federalism, the design of the transition extension of NCCSP I (Oct 2018-Oct 2019), supported building capacities of local government (Palikas) for planning and implementing climate resilient development projects and on the long run to focus Palikas on climate friendly planning. The institutional arrangement was found compatible with the task laid in the design. However, at the central level, there were representation of government officials both as NPD and NPM, should have been a project hired NPM, the evaluators feel that the project partners would take a strong message and mileage within the similar agencies. At the local level, then then DDC was responsible body for implementation, however noted the lack of integration of adaptation activities in local

government planning. The project document has also given a clear picture on key actors and their roles in delivering LAPAs. With NCCSP I- TE, the formation of user committee and their mobilization for project implementation was a good start into the changing context. This arrangement was then backstopped by project staffs including engineer and the head of Palika itself.

### ***Evaluation rating: Highly Satisfactory***

#### **6.1.2 Analysis of conceptual and result framework**

The conceptual framework had described the logical sequence of inputs-outputs-outcome-impact chain to some extent. The sequence was clear only up to the output level but not to the activity level. The evaluation team believes that a simple, standard logical sequence linking project goal, objective, outcome, outputs to activity level would have been better to implement, monitor and evaluate the project in a relatively straight forward manner. It is felt that the conceptual framework was not reviewed and reflected regularly by all implementing partners at the district level and revised incorporating the changes as per the challenges and opportunities, so as to track towards achieving the anticipated outputs and outcomes including accountability of district partners.

When reviewing the result framework (RF), it was found that the project had only 1 outcome and 3 outputs. The team felt less outputs comparatively for this project with a wide coverage of districts and larger funds. However, outcome and output level indicators with set baseline has been well given. The project timeline as of the framework has been given up till 2015 only but the project was still in place until July 2017. It seems that when designing the project and the result framework, it was not envisioned, as the project was the first of its kind in implementing LAPA at the VDC level. In the RF, most of the targets over years are not quantifiable and found qualitative output targets. The RF also does not distinguish cumulative and disaggregated indicators creating difficult to evaluate which activities were achieved and which were not achieved.

The team also reviewed the objectives and outputs of NCCSP 1-TE (RF necessarily not needed), the objectives and outputs are almost similar, while the third output is qualitative, difficult to measure.

### ***Evaluation Rating: Moderately Satisfactory***

#### **6.1.3 Risk and Assumptions**

NCCSP was considered as low risk project as per the project document with clear articulation of anticipated risk, its category and mitigation measures. During the restructuring of the country (beyond project control), the reviewer analyzed that the risk plan prepared earlier was not reviewed and revised neither. This plan could have also given adaptive management for the project. Among many, the staff turnover rate in the middle of the project was considered as high risk. It was because of the harsh environmental condition and remoteness of site within Karnali region. The project took an adaptive management by hiking the remote area allowances and other support to nullify the risk.

However, the risk factor for NCCSP I-TE as analyzed by the team should have been high but this extension period was considered a medium risk project. It seems that the project under went quick and effective mitigation measures. In general, lesser number of assumptions, stronger the project design, but here for a year project, the assumptions were quite high, however delivered anticipated results.

### ***Evaluation Rating: Satisfactory***

#### **6.1.4 Planned stakeholders' participation**

A wide range of stakeholders participated in the management and implementation of NCCSP I phase as well as the TE. At the Central level, stakeholders include then MoSTE, MoFALD, AEPC, Association of DDCs, etc (there were few others as well). At the district level, then DDC with District Offices including Forests, Agriculture, Irrigation, Livestock development, Women development etc. were actively involved in the project. Similarly, at the local level, local communities like farmers, livestock herders, forest user groups and community based organizations are the key stakeholders and beneficiaries of the programme. Enabling regular and active participation of district and local level stakeholders is one of the key achievements of NCCSP I Phase. The central level stakeholders and or partners jointly contributed in decision making, strategic planning and providing technical backstopping for district and local level implementation. The Project Steering Committee (PSC), chaired by the Secretary of the implementing ministry was a strong mechanism that contributed to taking strategic decision of the project in terms of resolving implementation challenges, ensuring coordination and guidance on managing fiduciary risks. At the district level, stakeholder participation was through sharing the cost or providing labor contribution to carry out activities jointly. Such local participation was well illustrated in many ways through labor contribution in stone collection, transportation, loading, unloading, site clearance for embankment/retention wall etc. Also with the CRDPs implementation, all the 14 Palikas showed full commitment and supported the user committee to accomplish the construction of climate resilient infrastructures. The evaluation team analyzed that the stakeholders' participation as envisaged by the project has been achieved since active participations of stakeholders had taken place at community and project execution process.

***Evaluation Rating: Highly Successful***

### **6.2 Project Implementation**

The overall responsibility for the project implementation rested with the Government of Nepal. UNDP Nepal together with technical ministry, then MoSTE executed the project through Project Management Unit (PMU) led by MoSTE and housed within the Ministry. The Project Executive Board (PEB), chaired by the Joint Secretary of MoSTE and represented by UNDP and other partners, approved the annual and quarterly work plan and budget prepared by the PMU. The field level activities were then carried out by DDCs in 14 districts with the support of district coordinator, technical officer and admin-finance associate hired by the project. The actual field level activities were carried out by different government line agencies and local communities including the women's group, farmer's group, forest user groups and local CBOs.

#### **6.2.1 Assessment of project strength and success**

The evaluation team had consultation with high level government officials and interacted with field team and beneficiaries to understand the project's strength and success. NCCSP was implemented as a flagship program of the government designed in line with Nepal's NAPA and Climate Change Policy 2011. NCCSP was also seen as a pilot project of strategic importance for Nepal to help realize Nepal's international commitments to climate change and to demonstrate a model of addressing climate vulnerability of its population in partnership with the local government. Selection of project districts and VDCs within Karnali region (with some districts having harsh environment) for LAPA implementation was based on their severity to climate change impacts and vulnerability of the population to climate risks. The project interventions were designed based on the objective assessment of the population grouped into various categories of vulnerability encompassing the most poor, women, indigenous community and marginalized

groups.. Implementation of tailored interventions suitable to each vulnerability category of the population was a great success model in building resilience to climate change.

The project has been successful in creating a ground for climate change dialogue and discourse amongst local communities and Palikas. The team analyzed that awareness on climate change issues and concern amongst local communities through LAPA implementation was the biggest success of the project. Internationally NCCSP was able to showcase Nepal's successful model of community adaptation as one of the top five adaptation projects in the world at the UNFCCC meeting in Morocco, 2016.

#### **6.2.2 Assessment of M&E systems and adaptive capacity**

The M & E system including the MIS (software based) was found to be well designed and satisfactorily implemented throughout the project period. A dedicated M & E Officer hired by the project regularly updated the database, maintained the monitoring plan, and timely produced project reports. The project did not undergo a mid-term assessment, however, the project review was done by DFID through OPM in late 2016. Immediately after the review, the project had to face a difficult transition due to on-going state restructuring that had implication of project governance mechanism at the local level which slowed down the project activities as the mid-course correction was not feasible. The project also faced high turnover staff working in remote districts during the transition. especially those. The evaluation also found that project could not prioritize documenting its good practices and publishing them as knowledge products on community adaptation to climate change as it had to focus on managing the transition posed by state restructuring.

The MIS seems to be very useful in reporting the progress and informing project planning about future directions of the project regards to targeting the most vulnerable groups. Though the project had maintained output-based tracking against the annual work plan but had given a very narrow focus on monitoring the project results at outcome level. This is regarded as the key weakness in the project's M& E system. Despite the M& E system being adaptive but its usefulness was limited to only supporting to activity and output level reporting.

#### **6.2.3 Project Reporting**

The project reporting carried out by the PMU was satisfactory in meeting the expectations of its partners including DFID, EU, UNDP and the GoN. The PMU has maintained good coordination with district implementing agencies in meeting their reporting requirements as well.

#### **6.2.4 Up-scaling approach**

NCCSP as a pilot community adaptation project designed to address the adverse impact of climate change at local levels was expected to play a pivotal role in its gradual scaling up of its good practices. . The project would have built on its solid achievements against the outcomes to showcase its potential impact at scale and opportunities for up scaling with respect to magnitude of activities and geographic coverage, for which the project and its partners should have given due attention. For example, a number of good practices demonstrated by the project, such as, sustainable livelihood creation through water conservation, would have been taken up by line agencies to be delivered through their regular programme and replicated in surrounding villages by the neighboring communities outside the project area. The project did fail in its approach to identify and document those practices and making efforts for scaling up.

Local beneficiaries and sector line agencies were found to have expressed their interests in scaling up NCCSP activities, however, the project remained largely occupied by carrying out regular project activities and could not think through beyond the business as usual.

***Evaluation rating for Project implementation: Satisfactory***

### **6.3 Effectiveness of the project**

The primary objective of NCCSP was to streamline concept of LAPA into local planning by building capacity of local governments and stakeholders, which has been significantly achieved. During the period when country was in political transition, shifting from unilateral governance system to a federal state, there were some uncertainties in processes and scope of work at different tiers of governments. At the same time, two elections were held during the project period which slowed down the project delivery. Despite such transitions and shift in governance system, NCCSP I Phase was largely able to deliver and achieve its primary objective. In order to make the project deliverables relevant in the changed context, the project adopted a different implementation modality and directly partnered with the municipal governments in its TE phase, as originally designed institutional mechanism through district development committees (DDCs) was no more in existence. The below key facets of NCCSP in terms of its effectiveness provides basis for evaluation.

**6.3.1 LAPA and municipal planning process:** Local adaptation plan of action (LAPA) was largely developed through participatory approach and implemented in close collaboration with and ownership of the local government. NCCSP was largely able to support the local level planning process in order to make it climate responsive. However, with change in governance system during NCCSP implementation, need to engage the provincial government to ensure coordination in planning and implementation across the municipalities was greatly realized.

**6.3.2 National Priority and policies:** NCCSP provided instrumental support to developing national climate change policy, framework for LAPA at the national level, developing national adaptation programme (NAP), and contributed largely to position Nepal on UNFCCC and similar international forums. However, keeping in mind the new governance system in place, a package of policy support to provincial government needs to be designed to influence the provincial planning to be able to address the climate urgencies.

**6.3.3 Resilient infrastructure:** The concept of resilient infrastructure was introduced in transition extension phase. Seventy-eight such infrastructure projects were supported through NCCSP. These projects were locally identified and prioritized by the municipalities. However, there is lack of systematic analysis and conceptual clarity on resilient infrastructure and the way the planning process should accommodate the voices of the local people. A systematic step by step planning guideline would largely benefit to emergence of such innovations. The evaluation team suggests that the Government of Nepal together with the stakeholders should develop guidelines for clarity on resilient infrastructure (what makes our infrastructure resilient) and how to plan and implement at the local level. The concept of “inlet to outlet” or upstream-downstream linkages was found poorly taken into account while constructing these infrastructure projects.

**6.3.4 Capacity building:** Capacity building of different stakeholders from central government to beneficiaries was major focus of the project. A number of capacity development events (training, exposure visits, on-site training) were organized. These trainings and capacity building events were found effective in creating awareness, developing climate sensitive projects. However, a systematic analysis of impacts of such events is largely lacking. Additionally,

management information system (MIS) which needs to be well embedded within the government system is highly suggested.

**6.3.5 Inter-sectoral coordination and Leverages:** Leveraging fund and expanding partnership with government entities at the local level was found effective. Though municipalities have principally agreed on establishing a repair and maintenance fund at municipality level, but this mechanism is still to be endorsed formally. Partnerships with other similar projects working in the area and private sector was found very limited. The evaluation team suggests exploring partnership opportunities for sharing knowledge and costs of interventions with likeminded externally supported projects and private sector to ensure cost effective delivery

***Evaluation Rating: Satisfactory***

## **6.4 Efficiency of the project**

The Project followed an equitable financial and human resource allocation strategy to support Palikas while ensuring 80% resources are allocated to the field level implementation. However, looking at varying transaction costs of project implementation, and technical capacity of local governments, more robust allocation mechanism would have been explored based on 1) remoteness and possible transaction costs, 2) assessing vulnerability and risks associated, and 3) technical capacity and human resource availability. The majority of the projects in TE phase were implemented through user group committees with an anticipated co financing from municipalities. Majority of municipalities allocated 10 - 20% matching funds, and 15% kind contribution from user groups for selected projects which positively helped create a sense of local ownership. However, amount of investment needed for a climate resilient project in Dang district may not be the same for a similar project in Dolpa district. The project lacks such analysis. Furthermore, implementation of these projects was considered to be dependent upon additional grant to the municipality coming from external sources, which may not ensure sustainability of the approach required for resilient infrastructure. The evaluation team suggest to re-look on financial allocation based on various criteria instead of equal distribution.

The evaluation team is not mandated to assess overall fund efficiency rather limited to TA component assigned to UNDP, and funds allocated for TE (CRDP phase). As a reason, this is unlikely that the report discusses on efficiency of the funds disbursed through government mechanism in NCCSP 1 Phase.

***Evaluation rating: Moderately Successful***

## **6.5 Impact assessment**

At the start of the project, though there was no thorough baseline survey conducted hence the baseline and targets reflected in project log-frame formed a basis for impact assessment. For example, there was zero baseline for LAPA implementation in project log-frame, and the project delivered implementation of 100 LAPAs, which was a significant achievement against the output level target of 70 LAPAs. The NCCSP Phase-I benefits 615,000 population, out of which 376,400 were direct beneficiaries. This includes almost 50% female, 27% indigenous group/nationalities, 22% Dalit beneficiaries. The transition extension phase provides direct benefits to 71,143 populations which include a) improved access to drinking water (8,964 population), b) improved food security through irrigation (32,055), c) protecting 392 ha of land d) protection of wetland providing services to 505 households (2,576 population), e) alternative energy (solar) to 354 populations, and d) providing flood resilient shelter to 850 individuals. However, the assessment

of the project at impact level is largely supported by qualitative analysis, as there is limited impact level data available at the project level.

The project was largely able to provide support to climate change policy formulation in 2018, contributed to Nepal's effective participation in UNFCCC led COP process through knowledge sharing and participation, and building capacity of local government on climate adaptive planning process. Besides, deepening understanding about climate resilience infrastructure and an agreement on repair and maintenance funds by the municipalities to ensure sustainability of infrastructure, and are other key successes.

However, the project was largely unable to persuade for upscaling and out scaling of good adaptation practices, making LAPA coherent with other partners' planning priorities and ensuring partnership with private sector as envisioned in programme document. The Government of Nepal has recently endorsed LAPA framework (in the changing federal context) which forms a basis for making LAPAs coherent with all government and externally funded projects. An operational guideline for municipal government on repair and maintenance would largely benefit in future planning. Learning from NCCSP in upcoming GCF funded project is a good indicator for scaling up, which also needs a systematic guidance in long run.

***Evaluation rating: Satisfactory***

## **6.5 Project sustainability**

An important part of NCCSP's sustainability strategy include the project alignment with government institutional arrangement and mechanism. At the field level, the project had envisioned capacity building of local communities and their ownership in LAPA activities to ensure the sustainability of interventions and continuity of similar interventions in future.

With regard to all these anticipated sustainability approach, the project supported in expanding the scope and mandate of Multi-stakeholder Climate Change Initiative Coordination Committee (MCCICC) to engage in policy, institutional coordination and financing mechanism for addressing climate change issues in Nepal. Though a permanent high-level institutional mechanism with national and international representation, the evaluation team analyzed that this committee was not fully functional and effective in providing advice on concurrent climate change issues to be taken to international climate discourse but rather it has been more used as a stakeholder platform to share experiences. Giving due emphasis on climate change adaptation planning at local levels, , the project during its course of time was able to embed climate actions within the then DDC's Periodic Plan in almost all districts. This has then ensured sustainability of the adaptation action at the local level. The team analyzed that, the empowerment process for LAPA implementation was deeply rooted at the community level and is for sure that will not vanish even after the project is phased over. Similarly, for implementation of CRDPs, the TE has provisioned to establish operation and maintenance mechanism with dedicated funding (Guidelines ready for endorsement by Palikas) to make CRDPs sustainable. The DEECCCC mechanism formed and operational during NCCSP I Phase, can still be revived during the NCCSP II Phase to facilitate, coordinate and take stewardship of energy, environment and climate change issues within the district through District Coordination Committee. Likewise, the continuation of NCCSP II Phase is expected to add on to showcase and give a complete model with respect to building resilience initiatives and establishing adaptation planning mechanism on whatever NCCSP I phase and NCCSP I-TE has left on as their footprints.

***Evaluation Rating: Satisfactory***

## 6.6 Mainstreaming Gender and Social Inclusion

With regard to GESI, the Project document mentioned that gender issues to be clearly articulated in the planning and implementation of the project. The project had employed dedicated gender specialist in its regional office, in order to support project districts for ensuring inclusion and implementation of gender-responsive climate actions. The document also envisions the development of simple and user friendly gender equality and social inclusion sensitive vulnerability assessment tool to be used beyond the scope of the project.

When assessing the project from GESI perspective, the evaluation team found that the project had put substantial efforts from engaging the local government in climate responsive planning targeted to women and socially excluded groups to advocating for prominent role of women and excluded groups in decision making. The project did set a milestone by reforming the composition of District Energy Environment Climate Change Coordination Committee (DEECCCC) and Village Energy Environment Climate Change Coordination Committee (VEECCCC) with 50% mandatory representation of women and disadvantage group in implementation. Until 2017, the composition of women in the committee accounted to 46%, and women in decision making role at the local institution reached 38% and Dalits in executive position reached 13%, which was quite an impressive result. However, there was no evidences about how the women leaders influenced the committee's decision making and what was the result. Project adopted a strategy to ensure at least 50% of beneficiaries were women and poor from marginalized groups. Similarly, during NCCSP I-TE, the project ensured 50% representation of women in the user committee and two key positions assumed by women.

The project through LAPA implementation supported to address women's both practical needs (access to clean water and sanitation, access to energy etc.) and strategic interest (access to and control over forest and water resources etc.). As a result, women and other indigenous communities have been able to reduce workload, contribute to generate extra income for the family and eased day-to-day living. There are many examples like that. Despite all these, the project could not materialize the formulation of GESI sensitive vulnerability assessment tool. Neither, it could support an overall assessment/study to document changes brought by the project on the lives of women and excluded groups vulnerable to climate change. Had it been done, this would have showcased GESI focused climate actions promoted by the project at strategic level.

***Evaluation rating: Satisfactory***

## 6.7 Finance and Co-financing

The NCCSP is a fully owned Government of Nepal's project with higher commitments on co-financing and in-kind contribution both at central and field level. Government of Nepal hosted the project and provided working office space within its premises for both Phase-I and TE phase. At the initial phase, Government of Nepal also deputed five staff to the project for effective delivery, including a joint secretary to oversee overall delivery as chair of project executive board. The evaluation team recognized largely the commitments and ownership of the Government of Nepal for the successful delivery of this project. The summary of revenue and expenses managed by UNDP as of December 2019 by partners illustrated as below (table 2). However, some settlements are not reflected in the UNDP ATLAS System, final figure of expenses will be received only in April 2020. Year wise cost share and expenses of different agencies/institutions in attached in annex 11a.

**Table 2: Cost share by institutions**

<b>Agency/ Institution</b>	<b>Revenue (USD)</b>	<b>Expenses (USD)</b>
Government Cost Sharing	5,765,901	5,217,182
UNDP	513,479	513,479
DFID	3,240,750	3,536,833
Total	9,520,130	9,267,494*

*\*Note: Some settlements are not entered and reflected in the UNDP ATLAS system. Final figure of expenses will be received from the system by April 2020.*

The scope of this evaluation is limited to assess finances and co-finances for UNDP TA component –Phase I and TE Phase. As a reason, this report does not include financial analysis of Phase-I managed under the government system. The overall financial achievement is 98% which is significant, despite the political transition and change in governance system in the country. The municipal governments co-financed on an average of 16% in project delivery, whereas community contributed 15%. The contribution of municipal government and the community was found effective and significant in achieving the project results. However, the project could not explore much the possibility of co-financing and leveraging funds with private sector and other projects of similar nature. The concept of repair and maintenance funds, though initially targeted to be transferred only from project budget at this moment, is a good step ahead for sustainable financing of infrastructure.

***Evaluation rating: Satisfactory***

Summary for output indicator assessment for both phase I and NCCSP I-TE.

**Table 1(a): Summary of assessment of output Indication (NCCSP phase I)**

Summary of assessment of output indicators	Rating
Output Indicator 1.1: Number of LAPA priorities implemented and monitored	Highly Satisfactory
Output Indicator 1.2: Number of climate vulnerable poor people with capacity to articulate and identify adaptation needs	Satisfactory
Output Indicator 1.3: Number of climate vulnerable poor people satisfied with performance of LAPA service providers	Moderately satisfactory
Output Indicator 2.1: Number of districts with functional mechanisms to integrate climate change adaptation into planning, delivery and monitoring	Satisfactory
Output Indicator 2.2: Number of villages with functional mechanisms to integrate climate change adaptation into planning, delivery and monitoring	Satisfactory
Output Indicator 2.3: Number of districts with Local Adaptation Fund operating with appropriate fiduciary safeguards in place	Not satisfactory
Output Indicator 3.1: Role of MCCICC expanded and coordination functions of the MCCICC developed	Not satisfactory
Output Indicator 3.2: Government of Nepal formulates and implements Climate Change Strategy	Satisfactory
Output Indicator 3.3: Climate change fund flow mechanism operating at national level with appropriate financial safeguards in place	Moderately satisfactory
Output Indicator 3.4: Number of Public Private Partnerships (PPP) delivering effective climate change adaptation	Not satisfactory

**Table 1 (b): Summary of assessment of output Indication (NCCSP I-TE)**

Summary of assessment of output indicators	Rating
Output Indicator 1: Climate resilient project identified (1-7) implemented in each 14 Palikas and provisioned for their operation and maintenance agreed by Palikas	Satisfactory
Output Indicator 2: Overall capacities of selected 14 Palikas for climate responsive planning, including maintenance, financial management, quality assurance, fiduciary risk management, social accountability enhanced for implementation of climate resilient development projects	Moderately* Satisfactory
Output Indicator 3: Learning and evidences documented to inform Nepal's climate adaptation framework, and guidelines to support planning and implementation of climate resilient development initiatives	Moderately* satisfactory

\*It is too early to assess these two outputs within 18 months of implementation. However, indications are positive.

**Table 3: Summary assessment rating as per the evaluation criteria**

<b>Rating</b>	<b>Description of Performance</b>	<b>Rating /Score</b>
<b>1. Relevance</b>	Overall, the project results demonstrate high degree relevance. The institutional arrangement from Center to Field level is well designed and the donors contributed substantive resources in implementation of project components. The project success was highly recognized in COP meetings demonstrating Nepal's commitments to climate change adaptation through community-based approached. On the ground, project activities had good buyin of the beneficiaries, inclusive benefit flow and high value.	HS (4)
<b>2. Efficiency</b>	The project followed an equitable financial and human resources strategy. The financial report does not discuss on the efficiency of funds through government mechanism in NCCSP I Phase	MS (2)
<b>3. Effectiveness</b>	Most of the output have been attained however, few outputs still needed to be packaged towards planned outcome.	S (3)
<b>4. Impact/ Results</b>	Project contributed to higher level results such as inputs to Climate Change Policy 2018; Nepal's experience about LAPA implementation shared at global and regional platforms and UNFCC meetings; project results helped address negative impact of climate changes and project objectives were realized	S (3)
<b>5. Sustainability</b>	The activities on the ground have indicated medium to good potential to sustainability at the local level however, the financial, institutional and environmental sustainability indicators not established. The state restructuring under new federal system of governance in the country impacted the continuity of LAPA initiatives. After the new federal structure was formalized, the project collaborated with the Palikas to work on CRDPs which laid strong foundation for climate resilient development planning and implementation at the local level funded by local resources laid by TE and give continuity of these initiatives by Palikas by allocating financial resources in their coming fiscal year for completion of initiatives of CRDPs.	S (3)
<b>6. Gender and Social Inclusion</b>	Project strategy ensuring 50% of beneficiaries are women, poor, and marginalized community was successful with representation of 46% of women in decision making at local level. LAPA interventions supported to generate additional income for women, dalits and indigenous communities. It would have been good had the project formulated GESI sensitive vulnerability assessment tool	S (3)
<b>7. Financing and Co-financing</b>	The project was implemented as NIM with project budget reflected in RED BOOK but managed outside the treasury through a dedicated account jointly managed by UNDP and the Government. Overall financial achievement of the project is 98%. All CRDPs were co-financed by the local Palikas in the ratio of 10-15% of total costs of CRDPS. The evaluation team by mandate only looked at 20% of the total project funds channeled through UNDP.	S (3)

*Notations and Score HS: Highly Satisfactory (4); S: Satisfactory (3); MS: Moderately*

*Satisfactory (2); NS: Not Satisfactory (1): The total score is divided by 28 (7- factors\*4-highest ranking) and multiplied by 100% to get the overall ranking of the Project.*

*For overall ranking of Project, the evaluation rating (for achievements) used as Highly Successful (76-100%), Successful (51-75%), Moderately Successful (26-50%) and Not Successful (up to 25%)*

***The overall Project ranking is: Successful***

## 7. CONCLUSIONS AND RECOMMENDATIONS

The Project has made substantial and significant efforts on mainstreaming adaptation options in line with Nepal's commitment to United Nations Framework Convention on Climate Change (UNFCCC) and the Paris agreement. It has achieved its objective at large on building local adaptation plan of actions (LAPA), building capacity of stakeholders on climate adaptive local planning, and contributing to national policies and programmes on climate change. The project was also successful in leveraging municipal co-financing and building ownership of the Government of Nepal. The project successes in strengthening community resilience has been picked up and well reflected in upcoming GCF project proposal, NCCSP-phase II and other national programmes.

The project was successful in implementing most of the planned activities within the time frame. Despite political transition and change in governance system followed by state restructuring process from unilateral government system to federal system, and un-clarity on roles and responsibilities of newly elected municipal governments, NCCSP built strong foundation for climate adaptive planning and advocating for community resilience building at the local level. The major project deliverables included a) 100 LAPA implementation, including 30 additional LAPA developed, 2) 77 climate resilient infrastructure 3) instituting climate adaptive local planning system 4) contributions to formulation of national climate change policy and National Adaptation Programme, and 5) preparation of Nepal's position paper on climate change to be presented in international forums, including UNFCCC Conference of Parties. Detail achievements is presented in Annex 9a) and 9b)

Considering Nepal's political transition from unilateral governance system to federal republic, national and local level elections, and uncertainties on roles, responsibilities and processes, and the difficulties the project team has had to face in adapting to these changes, the overall performance of the project is **satisfactory**.

The evaluation team values and greatly appreciates valuable achievement of the project and would like to recommend following action for future project planning. These recommendations may also attract NCCSP phase II implementation which is currently in operation.

### **Project Design and Government Ownership**

The project design was highly relevant to national government priority and adaptation programme at the central level and it continues to be relevant to present national priority. However, the role of provincial government was not envisioned at the time of project design. With changing governance structure, this will be more relevant to consider provincial government's role in similar project in future.

The Government of Nepal largely took the ownership of this project and contributed significantly in kind support and human resource contribution. In order to strengthen Government's role in project implementation, deployment of one full time government official (undersecretary level) on deputation to the project should be considered in future project as well.

**Recommendation 1:** Engage provincial government and its role in project planning and monitoring through relevant coordination and/or steering committees.

**Recommendation 2:** MoFE recommended to work through Ministry of Federal Affairs and General Administration to build municipal capacities for climate change adaptation under new federal system of governance in Nepal.

### **Implementation modality and Fund Disbursement**

The NCCSP adopted two different implementation modality and fund disbursement mechanisms. At the initial phase, development funds were disbursed through government budgetary system whereas TA was assigned to UNDP. In the initial phase, disbursement of budget on treasury was in line with the government fund flow mechanism, which was important in building synergy in implementation. However, later on, during TE, all funds were mobilized through UNDP directly. There are pros and cons of both modalities, however, the CRDP modality (TE) found effective in managing projects at the local level. With changing political structure and municipal government's role in managing local level development efforts, this is necessary to make municipal government responsible in fund flow and compliance.

**Recommendation 3:** Ensure municipal role in fund flow and monitoring of investment at the municipal level through creating a municipal level project fund management committee.

### **Effectiveness**

The project has made significant contribution on adopting LAPA and resilience approach by the local governments in development planning. The concept of resilient infrastructure was conceptualized and initiated at the local level. However, there is a need to concertize and making coherency among various stakeholders on LAPA modality and resilience building.

**Recommendation 4:** Government of Nepal recently endorsed LAPA framework. Within existing framework, a step by step operational guideline on LAPA formulation will help in ensuring coherence among various institutions.

**Recommendation 5:** The concept of climate resilient development and/or climate resilient infrastructure is relatively new at the municipal level. There is an urgent need to define and develop criteria and/or operational guidelines for resilience building/resilience development - what makes development resilient in Nepalese context?

**Recommendation 6:** Evidence based policy and decision support is crucial to strengthen adaptation and resilience building. A strong MIS system, well linked to central information system, at the project and municipal level would support knowledge generation and documentation.

**Recommendation 7:** The concept of upstream-downstream linkages needs to be well developed while designing and implementing infrastructure projects. A systematic analysis of upstream-downstream linkages built into adaptation concept will help in resilience building at large.

**Recommendation 8:** Future adaptation project should be aimed at achieving higher adaptation gains built on the analysis of food-water-energy-ecosystem nexus.

### **Efficiency**

The project adopted a strategy to ensure 80% financial resources allocated for field implementation and 20% for technical assistance. Despite many difficulties, the project has had resulted 98% financial progress. Human resource allocated to Palikas were instrumental in local level planning, coordination and compliance. More importantly, these project staff significantly

filled the gap at the time when municipal government extremely lacking technical human resources.

**Recommendation 9:** The project allocated financial and human resources equally to all Palikas. This approach can be taken positively, also as a tool to avoid conflict at local level. However, the project also needs to analyze transaction costs and marginal value of money. Investment plan should be based on varying transaction costs, and technical capacity of municipalities.

**Recommendation 10:** A clear guideline on operational and maintenance funds, and co-financing mechanism is highly recommended for efficiency and sustainability of similar projects in future.

### **Gender and Social Inclusion, conflict sensitivity**

**Recommendation 11:** Innovative adaptation options contributing to production and income generation should be given focus during the design of interventions. The evaluation team strongly suggests implementing production-based resilience innovations with special focus on women groups.

### **Up-scaling and out-scaling**

**Recommendation 11:** There are number of good practices that the project has piloted ranging from livelihood options to alternative energy. However, the project lacks concrete out-scaling and upscaling strategies for good practices. It is recommended that future projects must have a strategy for out-scaling, up-scaling of good adaptation and resilient practices.

## 8. LESSONS LEARNT

1. Local Adaptation Plan of Action (LAPA) approach was found instrumental in ensuring local level ownership in climate change adaptation planning. While learning from LAPA implementation, the concept of climate resilient development project (CRDP) was introduced with limited preparation. Nepal needs to further define and elaborate climate resilient development in its own context. A systematic analysis of climate resilient development and step by step guidelines in operationalizing such development is highly needed.
2. Upstream-Downstream linkages: Adaptation and resilience building needs to be considered in holistic way. The multiplier effects of projects/innovations need a systematic conceptualization and review. While designing resilient development projects, multiple projects needs to be considered at the planning phase. For example, for doing an irrigation canal project, requires better understanding of upstream (water source), area including the use of water, and downstream (agriculture field). Adaptation and resilient innovations need to be considered in totality, not as a single project.
3. The CRDP modality (TE phase) is found more effective in terms of efficient programme delivery at the local level. This reduces process and procedural time compared to NCCSP-phase I.
4. Continuous engagement with Palikas is not only necessary but instrumental in effective local level planning and ownership. As a reason, TA component needs be well embedded with Palika organizational structure.
5. Water-energy -food-ecosystem nexus can be an effective approach in designing adaptation and resilience innovations. While considering project planning, the nexus approach would help to be understood in totality.
6. Sustainable adaptation financing, both at central and local level is necessary for long term solutions. For example, Incentive based mechanism for ecosystem services could be an instrument for sustainable financing for small scale climate resilience infrastructure projects.
7. The already established repair and maintenance fund at the municipal level needs be further strengthened. Community ownership on such fund will help to create additional finances at the local level.
8. Project financing Investment plan needs to consider number of variables such as transaction costs, available technical capacity, human resources. Instead of equal distribution of financial resources, it would be good to consider and plan taking considerations above criteria. For example, transaction costs in high mountain areas is very high compared to Terai districts.
9. Collaboration with research institutions and universities for scientific documentation of good practices would benefit largely to suggest evidence-based policy support
10. Management Information System (MIS) is critical for long term planning and needs to be well streamlined with government reporting and management system.
11. Production based adaptation solutions are critical for diversifying livelihoods options, reducing vulnerability and increased adaptive capacity of women and marginalized population.

## 9. ANNEXES

### Annex 1: Case Studies

#### *Case Study 1: Land protection: Securing lives and livelihoods*

Every year farmers of Pipalsen tol, ward no. 4, Tribeni Nagarpalika, Bajura have been losing their valuable farm lands, livelihoods and property caused by erratic rain or unexpected heavy rain due to the change in the prolonged unusual weather condition. After the Community Resilient Development Project NCCSP I-TE collaborated with Nagarpalika and local communities started building gabion box linear wall (retention wall), the users of Sadaridanda CFUGs started feeling safe from being their land washed away. The project with a contribution of around 20,000 USD, about 200 ropanis of land is being protected there by saving livelihoods of 30 HHs, which are entirely dependent on agriculture. The local communities also felt the need of vegetative plantation such as *Nigalo* and *Amliso* that would have multipurpose benefits to ecosystem as well as livelihood. However, this initiative is not completed, two more wall each of about 50 m length is still need to protect the entire hilly terrace lands from being washed away. Sadly, this initiative has not given importance, as it was not budgeted in the coming year plan by Tribeni NP. This type of initiative is relevant in building resilient communities from the unpredictable impact of climate related hazards. Though the initiative is ecologically and economically sustainable thereby creating positive impact on the lives and livelihoods. The project also missed the changes of in building the continuation of such initiatives in planning process of Nagarpalika and not sure from where the funding mechanism will be secured to complete the entire retention wall in the coming years.

While farmer Udaya Bahadur Saud is happy that he has saved much of his farm land, other farmers are still in the danger of losing their land. In the scenario, where 80% of the young men and women of the village migrate to India in search of job. The villagers demand livestock rearing and vegetable farming support once they retrieve their land. The long-term solution to this widespread problem is in planning participatory integrated management which requires that the entire community, district watershed office, project/government staff jointly identify the problems, decide on the scope and type of intervention considering environmental, social, economic and watershed factors. Then activities implemented in an integrated manner meeting not only the objectives of climate change adverse effect but ensuring security of water and land in a sustainable and holistic manner.

Source: Field interaction, 13<sup>th</sup> December 2019

### ***Case study 2: Climate resilient Irrigation canal: Resilience infrastructure vs as usual scenario?***

Gharti Magar, Treasurer of Irrigation Canal User Committee, Ward no 5, Simaltara village, Gaduwa GP, Dang is not happy with what the CRDP supported. Same is with other committee members and 35 farming HHs living on the other side of Kakaruwa Khola. They are the indigenous (Magar and Pun) farming communities that depend upon the water from the irrigation canal for crops like rice and wheat. Since, two years, these farmers rely only on mustard and maize (crop that require no irrigated water) to support their livelihoods. It was the time when the dam to channelize water to the canal was washed away by heavy water flow. The traditional canal was functioning very well. The source of the water is from the national forest that lie on the southern side of the village, the forest adjacent to the Indian boarder. This village also received some activities through LAPA implementation. The need for replacing the traditional canal was done by the Palika's official, it was then easy for CRDP to fund for the construction of concrete canal rather than building dam which often demanded more fund then this construction. The project was completed few months ago, but the new concrete canal had lot of defaults. Unlike other irrigation canal, there was no flowing water in it and nor on the farmlands.

With all these evidences, evaluation team found that the priority was for the water reservoir than the canal itself. Despite the immediate need of water reservoir, project supported construction of water canal with municipal request and priority, assuming that municipality will invest on water reservoir from municipal budget. There was heavy siltation on the mount of the canal, leading from the dam. A proper engineering design for minimizing siltation could have been the priority investment from the project. Adding more complex to the design was the concrete base of the canal that will often loose percolation and recharging the ground water. The issue of resilience infrastructure vs as usual scenario further needs to discuss while investing project resources as priority. The evaluation team suggests investing on water reservoir from NCCSP II within wider concept of resilience infrastructure.

Despite the above situation, the Chair of GP has long term vision for investment in Climate Change and Disaster Disk Deduction Program. Some include, preparedness training at village level for fire and flood; identifying open spaces and building community shelter; fire brigade purchase for forest fire control etc. The mayor seeks support from projects in the preparation of Climate Change Adaptation and Disaster Risk Reduction Plan from project like NCCSP II in the days to come.

Source: Field interaction, 11<sup>th</sup> December 2019

### ***Case study 3: Little contribution from CRDP: High Changes for Communities***

NCCSP, the pilot project on Climate Change Adaptation in Nepal challenged the global community with its deliberation by working in high mountain and remote villages of Nepal. Among other Karnali district, Dolpa is no new to remoteness, harsh and hostile environment. NCCSP through its LAPA implementation has been working in the district since 2013 till 2017. With the establishment of local government, the program closely worked with Palikas to identify, prioritize, plan and budget for climate resilient development initiatives. Among many, the support for repairing the irrigation canal in Sirbindi tol, Tripurasundari NP was an extraordinary support that was chosen. In the year 2017, the construction that took nearly 9 years for completion of irrigation canal to penstock and the Pico hydro was finished. The 300 HHs that were deprived of electricity for years were happy on this development. Suddenly, after 9 months, the canal that channelized water to the Pico hydro was washed away by dry landslide. It is obvious that, dry landslides are very common in the lower Dolpa area. The electricity had stopped almost for a year, leaving again the communities in darkness. There was no adaptive management from the community. With the technical and financial support of NCCSP I-TE and coordination and collaboration for matching fund from the Nagar Palika, to build back the Canal was identified as priority CRD project. With its support, 100m long RCC canal was constructed and gabion box stone retention was built to prevent the canal from landslide. With a capacity of 80 KW production, only 15 KW is in use. The light is supplied for 5 to 10 pm, even additional hours in the morning is given for studying during major exam time. With the electricity, small mill for grinding is in use in the village, forest depletion has been stopped (as wood used for lighting purpose) and few local have started saw mills.

The user committee appreciated the relevancy of this initiative, and as part of maintenance the committee has allocated 2.5% of the total cost of the project (project cost- 18000 USD, Cofunding- 5000USD from Palika). This support was efficient and effective and created a huge impact on lives of local communities.

Source: Field interaction, 9<sup>th</sup> December 2019

## **Annex 2: Terms of Reference for Final Evaluation**

### **Final Evaluation of Nepal Climate Change Support Programme**

#### **PROJECT BACKGROUND**

Climate change and its adverse effects to the world has been a global issue and for Nepal, it poses huge challenges, especially the poor and vulnerable. Nepal is highly prone to floods and landslides. Recurring floods/landslides have pushed many vulnerable communities to a precarious situation. Nepal ranks fourth in the global climate risk index of the most vulnerable countries.

Considering the need for immediate actions, the then Ministry of Science, Technology and Environment (now Ministry of Forest and Environment) initiated Nepal Climate Change Support Programme (NCCSP) in 2013 implementing local adaptation plans (known as LAPAs) to address the most urgent and immediate needs in 100 villages covering 14 districts. The initial phase of Nepal Climate Change Support Programme (NCCSP) initiated in 2013 ended in mid-July 2017. Continuing these efforts, with the changed federal context, MoFE/GoN has led the implementation of Nepal Climate Change Support Programme 1-Transition Extension and has supported the selected 14 local bodies of 14 districts in preparing and implementing climate resilient development projects in 2018/2019. During the FY 2018/2019, NCCSP 1-TE has supported the 14 local governments in preparing and implementing climate resilient development projects (CRDPs) in 2018/19. These CRDPs are drawn from the local government's own plan without being a separate parallel project and mainly include activities related to irrigation, road improvement, water supply, and landslide control. DFID has provided the financial support to implement the CRDPs with technical assistance of UNDP.

#### **PROJECT OBJECTIVES AND OUTPUTS**

NCCSP is a flagship programme addressing the needs of climate vulnerable population in Nepal, led by Ministry of Forest and Environment/Government of Nepal (MoFE/GoN) with the technical assistance of UNDP and financial support of DFID.

The overall goal of the NCCSP is to contribute in ensuring that the poorest and most vulnerable communities in Nepal are able to adapt to the negative effects of climate change. The first phase intended to achieve following outputs:

LAPAs implemented on time and on budget in ways that deliver effective adaptation services to the satisfaction of the most vulnerable

Local and regional mechanisms to implement and promote scalable adaptation and resilience measures are put in place

Institutional and financing mechanisms of the GoN established/further developed for supporting Climate Change Adaptation

The transition phase of the programme aims to pilot and document the approaches to climate resilient development based on the implementation experiences of climate resilient development projects and capacity development efforts in 14 local bodies. The intended outputs of the transition phase are:

Climate Resilient Development Projects identified (approx. 1-7) and implemented in each of 14 local bodies and provisions for their operation and maintenance as agreed by the Palikas

Overall capacity of the selected 14 Palikas for climate responsive planning and implementation including maintenance, financial management, quality assurance, procurement, fiduciary risk management, and social accountability enhanced for implementation of climate resilient development projects

Learning and evidences documented to inform Nepal's climate adaptation framework, strategy and guidelines (as required) to support planning and implementation of climate resilient development initiatives.

## **EVALUATION OBJECTIVES AND SCOPE**

The objectives of the evaluation are to assess the achievement of the project results, and to draw lessons and recommendations that can aid in the overall enhancement of future program designing and implementation. Specific objectives of the evaluation include:

Assessment of achievements of project design, implementation, and project outputs and results, considering the relevance, effectiveness, efficiency and sustainability

Evaluation of impact and sustainability of results, including building communities' resilience to climate change, consideration of GESI/LNOB aspects, contribution to policy and planning framework, institutional framework, capacity building of the communities and the local government

Documentation of lessons learnt and provide recommendations and evidences to support design and implementation of similar projects in future

## **EVALUATION APPROACH AND METHOD**

The evaluator will be responsible for the final evaluation and development of the evaluation report. The evaluation should build upon the available project literatures, field visits, interviews and discussions, which would provide an opportunity for more in-depth analysis and understanding of Nepal Climate Change Support Programme. The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability and impact.

The evaluator must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, project team, UNDP Country Office and key stakeholders.

Therefore, the evaluator will work closely with UNDP Country team and project team to undertake the evaluation adopting following approaches:

*Review of documents:* The evaluator is expected to review the project document, project reports including Annual Progress Reports, review report, results framework, publications, strategic documents, policies, and other materials that the evaluator considers useful for this evidence-based assessment.

*Field Visits:* The evaluator is expected to conduct field visits in at least 3 project districts and project sites.

*Community Discussions:* The evaluator is expected to conduct discussions with the local communities and beneficiaries.

*Consultative Meetings:* The consultative meetings will be conducted with UNDP, Ministry of Forest and Environment, Municipalities/Rural Municipalities in the field and the central level as relevant.

## EVALUATION CRITERIA AND RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework, which provides the performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: relevance, effectiveness, efficiency, sustainability, and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation report.

Evaluation Ratings:			
1. Monitoring & Evaluation	Rating	2. Technical Assistance and Implementation Agency Execution	
M&E Design at entry		Quality of UNDP TA	
M&E Plan Implementation		Quality of Implementation Agency-MoFE	
Overall Quality of M&E		Overall quality of implementation	
3. Assessment of Outcomes	Rating	4. Sustainability	
Relevance		Financial Resources	
Effectiveness		Socio-political	
Efficiency		Institutional Framework and governance	
Overall Project Outcome Rating		Environmental	
		Overall likelihood of sustainability	

## PROJECT FINANCE / CO FINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co- financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data.

## MAINSTREAMING

The evaluation will assess the extent to which the project has successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and GESI/LNOB.

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of conclusions, recommendations and lessons.

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Nepal. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team.

The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 25 working days according to the following plan:

Activity	Timing	Dates
Preparation/Inception Report	2 days	November 15, 2019
Evaluation Mission	15 days	November 16-30, 2019
Draft Evaluation Report	5 days	December 5, 2019
Final Report	3 days	December 9, 2019

## EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverables	No. of days
1. An <i>inception report</i> reflecting detailed work plan, review methodology including review framework and tools (questionnaires, guiding questions, checklists and all details) and Presentation on the same.	2 days
2. Submission of <i>preliminary findings with presentation</i> after all consultations, field visits	15 days
3. Submission of a <i>draft evaluation report</i> including presentation.	5 days
4. Submission of a <i>final report</i> incorporating comment /feedbacks on the draft report.	3 days

## TEAM COMPOSITION & REQUIRED COMPETENCIES

The evaluation team will be composed of one Lead Evaluator and one Assistant Evaluator. The will be responsible for ensuring overall quality and finalizing the report. The evaluators shall have prior experience in evaluating similar projects. Experience with climate change related projects would be an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

Lead Evaluator should have following qualification:

At-least master's degree in environment science, natural resource management or relevant subjects  
Minimum 8 years of relevant professional experience in climate change and environment related issues along with conducting evaluation of projects

Demonstrated ability to work with government agencies and development partners.

Familiarity with Nepal's climate change policy and programs will be a useful asset

Previous work experience with United Nations or other multilateral/bilateral development assistance agencies is a useful asset.

Experience leading multi-disciplinary teams in high stress. Ability to meet short deadlines.

Assistant Evaluator should have following qualification:

At-least a master's degree in environment science, natural resource management Social Science, Gender studies or relevant subjects.

At least 5 years of professional working experience in their relevant field, specifically two years in Gender mainstreaming, project evaluation

Experience of project evaluation and clear understanding of climate change and cross cutting issues including livelihood, gender issues and holistic and integrated planning approach

Previous experience with results-based monitoring and evaluation methodologies;

Demonstrated analytical skills, ability to assess complex situations, to succinctly and clearly distil critical issues, and to draw practical conclusions

Competencies:

The team should ideally have the following competencies and attributes:

Corporate Competencies:

Demonstrates integrity by modeling the UN's values and ethical standards;

Promotes the vision, mission, and strategic goals of UNDP;

Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability

Treats all people fairly without favoritism;

Fulfils all obligations to gender sensitivity and zero tolerance for sexual harassment

Functional Competencies:

Competence in Adaptive Management, as applied to conservation or natural resource management;

Ability to plan and organize his/her work, efficient in meeting commitments, observing deadlines and achieving results

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

Schedule of Payment

The payments will be delivery-based on progress submitted by consultant as follows:

Instalments	Milestone	Payments
1st	Submission of inception Report	15 Nov (30% of the total contract amount)
2nd	Final Report Submission	9 Dec (70% of the total contract amount)

### **Annex 3: Data collection instruments and Guiding questions**

#### **Expert Consultation (High level govt./funding agency/implementing agency)**

1. Name:
2. Institution affiliation (if any):
3. Position in the institute:
4. What are your opinion on the project? (Policy influence, international outreach, ground level penetration, coordination, collaboration, value for money, effectiveness, sustainability)
5. Three wow factor of the project?
6. a.
7. b.
8. c.
9. Your future plans for the next project:

#### **Guiding questions for discussion at Palika level**

- a. How is the organization working (process in bringing the project)?
- b. Why this intervention became necessary?
- c. Financial cost involved and organization contribution?
- d. Benefits at the larger basis?
- e. Long run plan (CC integration in plans, interventions) of the organization?

#### **Guiding questions for beneficiaries**

- a. Was the need of this intervention felt? Need based or demand driven?
- b. How did you all manage to get it? (involvement in design, implementation)
- c. Any community contribution? How much?
- d. Planned vs. Actual budget in bringing this intervention?
- e. How is this initiative managed on the long run?
- f. Is there any coherence with climate change? (building resilience, increasing adaptive capacity, coping with climate change hazards)
- g. Any change in livelihoods of vulnerable group?
- h. Any additional views on such project for future?

#### **FGD checklist- women's group/farmers' group**

- a. Heard of climate change and its impact? Who are mostly affected?
- b. What is the group involved in, from when and how?
- c. What do you do, as social coherence?
- d. How much is the project and the group investment (time and money)?
- e. How is this involvement benefiting (capacity building and economic benefits)?
- f. What have you thought on the long run (sustainability)?
- g. Any additional views on such initiatives for future?

## **Annex 4: Evaluation Criteria and Questions**

**Relevance-** The team assessed the relevance of the project and its intended outputs, outcomes and impact towards national and local policies and priorities. The programmatic relevance also included towards the priority of direct beneficiaries. Questions, but not limited to, provided relevance of the program.

- To what extent did the project focus on and remain relevant to issues of national, local and beneficiaries' priority?
- Was the project's strategy to get a better leverage clear?
- Were the project strategies clear to adapt changing federal context, in terms of institutional arrangement and relevance?
- Did the project consider inter sectoral coordination to achieve intended result?

**Effectiveness-** This criterion focused on whether the project intended results were achieved within timeline of project. Questions, but not limited to, provided effectiveness of the project.

- How project's steering committee was functional and effective in guiding project focus?
- What were the key approaches and measures the project implemented to building capacity of project staff, government implementing partners, and beneficiaries?
- What was the beneficiaries' level of satisfaction on project programme support?
- Was there any funds leverage or joint funding to implement activities in the field?
- What were achieved with the community development initiatives against the planned outcomes? Were there any lessons to improve for the next phase of the project?
- To what extent had the coordination between the implementing actors been effective? What could have been done to improve the coordination and communication?

**Efficiency-** The team also assessed the financial efficiency of the project. The financial investment plan with costs center (outcome wise) was assessed to understand efficiency of the project, including fund alteration, if any. Evaluating the efficiency of resources involved the following questions:

- How were the financial resources utilized to achieve intended results?
- What was the financial disbursement plan and methods?
- Did the project adopt the value for money approach?
- Were there any examples that the interventions completed in less resources then the planned?
- Were there any good practices on fund leveraging?

**Sustainability-** This criterion particularly focused on understanding project's sustainability plan, including up-scaling and out-scaling of good practices. The team assessed if key project successes were already embedded within local government plans. Key questions were:

- Was there any sustainability plan developed and agreed?
- Did any local government embed project good practices in their development plan?
- Did any local government or external agencies adopt project model or good practices within their plan?

- To what extent did the project include key sustainability factors in its design such as support to national and local authorities; involvement of local communities for climate change discourse?
- What was the project strategy to secure financial sustainability of interventions?

**Impact-** The team analyzed the actual or anticipated positive or negative changes against the project target, particularly on adaptation and community livelihoods. Questions to, provide guidance to assess project impact included:

- Was there any evidence that the project support positively contributed to national climate change policy formulation process, or Nepal's climate change negotiation process?
- How and what were project activities that contributed to municipal development plan, making it towards resilience planning?
- Were the community perception and understanding positively changed on the issues of climate change?
- Were there any successful cases that project support concretely yielded to improving livelihoods of poor and marginalized communities?
- How did project link its programmes on international priorities on climate change?

**Adaptive management** - This criterion analyzed how the project team were able to be adaptive to the unseen or unpredictable situation and also assessed adaptive management to meet indicator targets and deal with project issues. Key questions were:

- Was the project managed adaptively? What kind of changes happened during the course of project? Were these changes able to bring in better performance?

**Integration of Gender equity and Social Inclusion:** Integration of gender and social inclusion was analyzed as cross cutting issue, and discussed across all criteria above. Key questions included:

- What was the project strategy to ensure participation and decision role of poor, women, vulnerable and marginalized communities in its project cycle?
- Were there any good practices where issues of gender and social inclusion integration in local level planning and implementation process?
- Were there any quantitative data available justifying decision making role of most vulnerable, socially excluded group in activity planning and implementation?
- What was the percentage of financial resources allocated for gender and social inclusion related activities?

## **Annex 5: List of Field site visited, and people interacted in the field**

<b>Date:</b> 9 <sup>th</sup> December'19	
<b>Province:</b> Karnali	
<b>Palika:</b> Tripurasundari NP, Ward-1, Tripurakot Bagar, Dolpa	
<b>Name</b>	<b>Position</b>
Om Bahadur Buda	Mayor
Rup Chandra Buda	Accountant

Hira Chandra Dharala	Chief Administration Officer
<b>Date:</b> 9 <sup>th</sup> December'19	
<b>Province:</b> Karnali	
<b>Palika:</b> Tripurasundari NP, Ward- 5, Khadang, Dolpa	
<b>Name</b>	<b>Position</b>
Nabaraj Budhathoki	Ward Chairperson
Hum Bahadur Raya	Road Committee Chairperson
Chandra Lal Damai	Secretary, Road Committee
Laxmi Upadhayay	Ward member
Amber Basnet	Health Post Chairperson
Nar Bahadur Jhakri	Ward member

<b>Date:</b> 10 <sup>th</sup> December'19	
<b>Province:</b> Karnali	
<b>Palika:</b> Thulibheri NP, Dolpa	
<b>Name</b>	<b>Position</b>
Saroj Mani Poudel	Warden, SheyPhoksundo NP, Suligad
Mukesh Keshari	CDO, Dolpa
Danta Neupane	Program Officer, Thulibheri NP, Juphal

<b>Date:</b> 11 <sup>th</sup> December'19	
<b>Province:</b> 5	
<b>Palika:</b> Gaduwa GP, Ward-5, Simaltara, Dang	
<b>Name</b>	<b>Position</b>
Tulasa Gharti Magar	Irrigation Committee Member
Padma Pun	Irrigation Committee Treasurer
Kesari Thapa Magar	Irrigation Committee Member
Sapana Pun	Irrigation Committee Member
<b>Date:</b> 11 <sup>th</sup> December'19	
<b>Province:</b> 5	
<b>Palika:</b> Gaduwa GP, Dang	
<b>Name</b>	<b>Position</b>
Sahaj Ram Ahir	Gaduwa Gaunpalika Chairperson
Nokhi Ram Oli	Gaduwa Gaunpalika Member

<b>Date:</b> 13 <sup>th</sup> December'19	
<b>Province:</b> Sudur Paschim	
<b>Palika:</b> Tribeni NP, Bajura	
<b>Name</b>	<b>Position</b>
Ram Singh Rawal	Mayor, Tribeni NP, Bajura
Khagendra Saud	Administration Officer, Tribeni NP, Bajura

<b>Date:</b> 13 <sup>th</sup> December'19	
<b>Province:</b> Sudur Paschim	
<b>Palika:</b> Tribeni NP, Ward-4, Pipalsen tol, Bajura	
<b>Name</b>	<b>Position</b>
Udaya Bahadur Saud	Embankment Committee Member

## **Annex 6: Lists of documents reviewed**

- Project documents- NCCSP I Phase and Transition Extension
- Annual Work Plans (2013-2017)
- Annual Progress Reports and Financial Progress Reports (2013-2017)
- Success stories- NCCSP I Phase
- Financial overview, funds disbursement, alteration, and delivery
- M&E Plan
- High level monitoring visits reports
- Exit strategy/Sustainability Plan
- PEB Minutes
- International forum/process support documentation
- Review document of NCCSP I phase (OPM prepared)
- 78 project summary- Investment tracking if any
- Government plans, policies related to climate change, and adaptation

## **Annex 7: People Interviewed and Discussed (Key Informant Interviews)**

- Dr Krishna P Oli, Hon. Member, National Planning Commission
- Dr Bishwa Nath Oli, Secretary, Ministry of Forests and Environment
- Dr Ram P Lamsal, Director General, Department of Forests and Soil Conservation
- Dr Maheswhor Dhakal, Chief Climate Change Management Division, MoFE
- Dr Sindhu Dhungana, Chief Planning Division, MoFE
- Dr Arun Prakash Bhatta, Under Secretary, MoFE
- Mr Vijaya Singh, UNDP Nepal
- Mr Vijay Prasad Kesari, UNDP Nepal
- Mr Anil KC, Project Manager, NCCSP
- Mr Manoj Ojha, Climate Change Officer, NCCSP
- Mr Hari Narayan Kurmi, Finance Officer, NCCSP
- Ms Rojy Joshi, Monitoring, Communication & Reporting Officer, NCCSP
- Mr Simon Lucas, DFID



## Annex 8: Questions matrix (a) and field summary (b)

Key review criteria and questions	Documents	Stakeholder interviews	Data Source	Fieldwork
<b>Terms of Reference question- Relevance: What is the relevancy of the project?</b>				
To what extent does the project focus on and remain relevant to issues of national, local and beneficiaries' priority?	Project documents, Progress Reports	government officials	Project document and Progress reports	District officials, Palika's officials interaction
Is the project's strategy to get a better leverage clear?	Project Reports	Government high level officials	Annual Progress Reports	District agencies interaction
Does the project adapt clear strategies to adapt changing federal context, in terms of institutional arrangement and relevance?	NCCSP I TE objective document	Project staff and Palika's Chair	NCCSP I TE document	Palikas and wards observation
Does the project consider inter sectoral coordination to achieve intended results?	Annual reports	Government line agencies	Annual Progress reports	District officials, Palikas' interaction
<b>TOR question- Effectiveness: How has been the project effective in obtaining its intended results?</b>				
How project's steering committee was functional and effective in guiding project focus?	Work Plans, Financial disbursement plan, progress report	Government agencies, development partners and informed sector commentators	M&E data (project reports, reviews)	District officials interaction
What were the key approaches and measures the project implemented to building capacity of project staff, government implementing partners, and beneficiaries?	Progress reports	Government officials, project staffs	Progress reports	Project field officials' interaction
What is the beneficiaries' level of satisfaction on project programme support?	Project Reports, Annual reviews	Beneficiaries and user committee	M&E data (project reports, reviews)	Focus groups, beneficiary interviews
Is there any funds leverage or joint funding to implement activities in the field?	Annual reviews	Implementing partners	Project reports, reviews	District partners interaction, Focus groups and Palikas' interaction
What has been achieved with the community development initiatives against the planned outcomes? Are there any lessons to improve for the next phase of the project?	Project Reports, Annual reviews	Project team, government officials	Work completion reports	Focus group discussion
<b>ToR question- Efficiency: How has the project been economically efficient (converted inputs into outputs)?</b>				
How have the financial resources been utilized to achieve intended results? The programme operating modalities be looked into: <ul style="list-style-type: none"> <li>Financial disbursement plans and methods</li> <li>Value for money approach</li> <li>Any interventions completed in less money than planned</li> <li>Good practices on fund leveraging</li> </ul>	Project report review (including fiduciary risk document, annual reports)	Project staff (technical, finance and management) Interview with stakeholders (ministry, districts and communities) Development partners	M&E data (project reports, Case studies by the projects (if any)	District officials/ Palika's officials
<b>TOR questions- Sustainability: How is the project sustainable?</b>				
Is there any sustainable plan developed and agreed?	Annual reviews, project reporting	Government agencies, implementing partners	M&E data (project reports, reviews)	District officials
Does any local government already embed project good	Progress reports	District government	Reports and Case	Palikas' interaction

Key review criteria and questions	Documents	Stakeholder interviews	Data Source	Fieldwork
practices in their development plan?		officials	study documents	
Does any local government or external agencies adopt project model or good practices within the plan?	Reports of districts' government agencies	Government officials and project staff	M&E data	District officials/ Palika's official/ other stakeholders
To what extent does the project include key sustainability factors in its design such as support to national and local authorities; involvement of local communities for climate change discourse?	Project document, Progress reports, Sustainability plan if any	Funding agency officials, implementing agency officials	Progress reports	Beneficiaries interaction and Palikas' interaction
What is the project strategy to secure financial sustainability of interventions?	Project documents, progress reports, Sustainability plan	Local implementing partners	Progress reports	Beneficiaries interaction
<b>ToR questions- Impact: Is the project able to demonstrate the actual or anticipated changes at the regional level??</b>				
Is there any evidence that the project support positively contributed to national climate change policy formulation process, Nepal's climate change negotiation process?	Government (MoFE) documents, Project reports	High level government officials	Ministry progress reports	NA
How and what the project activities' contributed to municipal development plan, making it towards resilience planning?	Project progress reports, Paliks' progress report	Palika's officials	Progress reports	Interaction with Palika's Chairperson
Is there any successful cases where project support concretely yield to improving livelihoods of poor and marginalized communities?	Annual progress reports and Case studies	Beneficiaries	Case studies/success reports	Interaction with beneficiaries, focus group with target community
How project has linked its programmes on international priorities on climate change?	Partner Ministry progress reports	High level government officials	Policy briefs, progress paper	Interaction with key Ministry's personnels
<b>ToR question- Gender Equality and Social Inclusion: To what extent is the NCCSP achieving its objectives in terms of GESI?</b>				
Has the programme targeted the poorest and/or most climate vulnerable households in implementation districts including women and disadvantaged groups?	Annual reviews	Donors, government, UNDP, Relevant sectors	M&E data (project reports, reviews)	District officials, Focus groups, beneficiary interviews
Are there any good practices where issues of gender and social inclusion integration in local level planning and implementation process?	Annual reviews	Project personnel, implementing agency, district implementing partners	M&E data (project reports, reviews)	Consultation with district implementing partners and Palika's officials
What is the percentage of financial resources allocated for GESI related activities?	Annual Work Plan	District implementing personnel	M&E data, progress reports	Beneficiaries interaction
<b>ToR question- Adaptive management: How has the project been able to be adaptive to the unpredictable situation?</b>				
What kind of changes happened during the course of project?	Annual reports	Project staffs, Field officials	Reports, reviews	Consultation with project's field staffs
How have these changes been managed and what did changes bring in (positive or negative changes)?	Annual Progress reports	Project staffs, Field officials	Reports, reviews	Consultation with project's field staffs

Key review criteria and questions/districts	Dolpa	Dang	Bajura
<b>1. Relevancy of the project</b>			
<b>To what extent does the project focus on and remain relevant to issues of national, local and beneficiaries' priority?</b>	The supported initiatives highly relevant to local priority in two sites	The intervention not functional, project missed beneficiaries priority (dam construction rather than canal)	The intervention highly relevant to local and beneficiaries priority
<b>Is the project's strategy to get a better leverage clear?</b>	Very limited leverage (10%) from Palika	25% fund leverage by Palikas and budget allocated for dam construction in coming fiscal year	Nominal leverage from Palika
<b>Does the project adapt clear strategies to adapt changing federal context, in terms of institutional arrangement and relevance?</b>	Working with local bodies considered an entry point for climate discourse at local level	Though no clear strategy on how to work with the changing context but a good start up with Palikas	No clear strategy but the project need to be strategic in terms of Palikas need for infrastructure projects
<b>Does the project consider inter sectoral coordination to achieve intended results?</b>	Sectoral coordination among other sectors like irrigation, drinking water	Seems like very limited inter sectoral coordination, otherwise the irrigation project would have been completed	Coordination done with RAP for rural road construction
<b>2. Effectiveness of the project</b>			
<b>How project's steering committee/user committee was functional and effective in guiding project focus?</b>	In both sites, the ward committee was fully function to guide the project	Palika itself effective in project implementation and decision making	User committee functional on project initiatives
<b>What were the key approaches and measures the project implemented to building capacity of project staff, government implementing partners, and beneficiaries?</b>	Capacity building through training, orientation on CC issues was effective at ward level (implementation site)	No such capacity building of local communities observed, Palika capacitated for climate friendly planning and implementation	Capacity building of Palkas officials for climate planning was effective however found not included in planning and budgeting
<b>What is the beneficiaries' level of satisfaction on project programme support?</b>	Highly satisfied with project support on both sides, but demand for livelihoods improvement support	Very low level of satisfaction of local communities, the irrigation canal was not at all functional	Highly satisfied with project support in reducing climate related hazards such as landslides
<b>Is there any funds leverage or joint funding to implement activities in the field?</b>	Palikas allocated fund form the coming fiscal year	Palika allocated funds to complete the canal and	Paliaka showed the project dependency

Key review criteria and questions/districts	Dolpa	Dang	Bajura
		advocate for dam construction to irrigation division	tendency, RAP support much appreciated, no leverage
What has been achieved with the community development initiatives against the planned outcomes? Are there any lessons to improve for the next phase of the project?	Climate adaptation and resilient part followed to some extent but not sufficient	Climate resilient part was missed, so need to include, orient and work accordingly	Complete the initiatives to give a better and effective picture
<b>3. Efficiency of the project</b>			
<b>How have the financial resources been utilized to achieve intended results?</b> <b>The programme operating modalities be looked into:</b> <ul style="list-style-type: none"> <li>Financial disbursement plans and methods</li> <li>Value for money approach</li> <li>Any interventions completed in less money than planned</li> <li>Good practices on fund leveraging</li> </ul>	The project followed value for money approach, fund leveraging to some extent, financial disbursement mechanism strong, highly efficient intervention	Seems like no investment better than investment at this site, no value for money approach, no efficiency of the intervention	Moderate efficient of the intervention observed
<b>4. Sustainability of the project</b>			
Is there any sustainable plan developed and agreed?	Ward committee ensured the sustainability	Palika developed the operation guidelines including sustainability approach	No sustainability plan developed for this project
Does any local government already embed project good practices in their development plan?	Some of the priority activities of LAPA included in their plans	Some of the climate resilient activities included in their plan	Some activities of LAPA such as plantation, embankment for land protection included in their plan
Does any local government or external agencies adopt project model or good practices within the plan?	District agencies continue LAPA activities but CRDP model not adopted	Not in this district	RAP project (rural road construction) and Palika to plant tree sapling along newly constructed roads
To what extent does the project include key sustainability factors in its design such as support to national and local authorities; involvement of local communities for climate change discourse?	Sustainability included to some extent but not sufficient	Sustainability not studied, highly ignored, longevity of canal seems less as heavy siltation on the mount of the canal	Included to some extent but not sufficient
What is the project strategy to secure financial sustainability of interventions?	Project ensured as Palika to support the remaining part of the initiatives	Palika ensured the financial sustainability of the project	Financial sustainability weak, limited support by Palikas
<b>5. Impact of the project</b>			

Key review criteria and questions/districts	Dolpa	Dang	Bajura
Is there any evidence that the project support positively contributed to national climate change policy formulation process, Nepal's climate change negotiation process?	Not relevant at local level	Not relevant at local level	Not relevant at local level
How and what the project activities' contributed to municipal development plan, making it towards resilience planning?	Project to some extent influenced the Palikas development plan but not all activities are climate friendly	Head of the Palika were on climate resilient planning and project influence moderate and few activities are climate resilient	Palika aware in climate issues but no climate friendly planning done
Is there any successful cases where project support concretely yield to improving livelihoods of poor and marginalized communities?	Yes, examples many, irrigation canal and micro hydro project, water mills restoration supported livelihood of poor	With LAPA interventions, climate vulnerable poor were supported for livelihood enhancement	Land protection initiatives supported the livelihoods of vulnerable poor
How project has linked its programmes on international priorities on climate change?	Documentary to showcase NCCSP effort (irrigation canal and micro hydro support) in Dolpa has been played in Madrid, CoP, Dec 2019	Not any	Not any
<b>6. Gender Equality and Social Inclusion</b>			
Has the programme targeted the poorest and/or most climate vulnerable households in implementation districts including women and disadvantaged groups?	Project reached the V4, V3 (highly vulnerable, vulnerable) communities	Project reached to the climate vulnerable poor, women and disadvantaged groups	Project intervention in the past via LAPA reached the vulnerable poor, women and disadvantage group
Are there any good practices where issues of gender and social inclusion integration in local level planning and implementation process?	Focus on livelihood enhancement of women focused by LAPA and also in income generation activities in the planning	Cases not observed, women group seems not satisfied with project interventions	Palika have allocated some skill development initiatives for women
What is the percentage of financial resources allocated for GESI related activities?	Very nominal, less than 5%	Not calculated	No strict calculation done
<b>7. Adaptive management</b>			
What kind of changes happened during the course of project?	After federalism, the project lost communication with its district partners, no clear implementation modality, LAPA concept dilution	Same was for this district	Same for this district
How have these changes been managed and what did changes bring in (positive or negative changes)?	Good start up in collaborating with Palikas through CRDPs and will have positive changes for NCCSP II Phase	Same for this Palika	Same for this Palika

Outputs	Indicators	Output Progress	Rating
	1.1: Number of LAPA priorities	During the project period (2013-2017), NCCSP has successfully	Highly

### Annex 9a): Overall Impact, Outcome and output progress assessment of NCCSP I

Program Impact	Indicator	Progress	Rating
Nepal's poorest and most vulnerable people are able to adapt to the effects of climate change	Number of people less vulnerable to the impacts of climate change	No country level data available on the effect of climate change on poorest and most vulnerable. Project has not conducted its baseline and end line in its working districts on climate change effect on poorest and most vulnerable	Moderately Satisfactory
<b>Outcome-</b> Enhanced capacity of Government (MOEST and MOLD and relevant offices at regional and district level) and non-governmental (NGOs, CBOs, private sector and communities) institutions to implement climate change policy, and most urgent and immediate adaptation actions to increase the resilience of climate vulnerable poor	<b>1:</b> National climate change strategy is financed and implemented in ways that support the delivery of adaptation priorities of the poorest and most vulnerable	<p>This evaluation reports the evidences of improved capacity of central and local government bodies to allocate and manage climate funds however project has not taken substantial effect to monitor and assess their effectiveness of their capacity.</p> <p>NCCSP through LAPA implementation has been able to address the urgent and immediate adaptation actions for climate vulnerable poor.</p> <p>National climate change strategy has not been developed yet (so no implementation). However, the project supported then MoPE (2016) on National Adaptation Plan formulation process.</p>	Moderately Satisfactory
	<b>2.</b> No. of DDCs delivering adaptation benefits through the integration of adaptation priorities into planning and budgeting processes	There is evidence to support that the then DDC delivering adaptation benefits through the integration of adaptation priorities into planning and budgeting process.	Highly Satisfactory
	<b>3.</b> % HHs adopting adaptation actions to address climate change	Project records' showed that no. of hhs in the project VDCs were 112,994 (2011 census data,); no. of hhs received program support (directly and indirectly) = 108,654 (96%), also showed that about 11.35 % of households received direct benefits from 14 programme districts (Source: NCCSP Review 2016).	Highly Satisfactory
	<b>4.</b> Service providers are providing effective adaptation services to vulnerable households using funds channelled through DEECCS	Based on the field inquiry, beneficiaries' interaction, discussions with stakeholders and direct observation from the sampled districts, funds have been channelized through the then DEECCS.	Highly Satisfactory

1. 100 LAPAs ( 70 planned & 30 added after project started) implemented on time and on budget in ways that deliver effective adaptation services to the satisfaction of the most vulnerable	implemented and monitored	implemented 100 LAPAs, with a total of 2,568 local adaptation actions covering six thematic areas	Satisfactory
	1.2: Number of climate vulnerable poor people with capacity to articulate and identify adaptation needs	During the project period, 459,642 participants (45% female) involved in program interventions, 72,778 participants (60% women) received specialized trainings to increase their capacity to identify and articulate needs and implement adaptation actions.	Satisfactory
	1.3: Number of climate vulnerable poor people satisfied with performance of LAPA service providers	Survey conducted by project in 2016 on the satisfaction level with LAPA performance indicated that (1867 monitoring scorecards used) 96% community people were satisfied with activities and performance of the service providers, 99% people agreed that activities for target beneficiaries are in line with local people's demand.	Highly Satisfactory
2. Local and regional mechanisms to implement and promote scalable adaptation and resilience measures are put in place	2.1: Number of districts with functional mechanisms to integrate climate change adaptation into planning, delivery and monitoring	By mid of 2017, the EECCCs established (Regional-2, District-14, Municipality-7, VDCs-90), functional and capacitated for planning, delivering and monitoring.	Highly Satisfactory
	2.2: Number of villages with functional mechanisms to integrate climate change adaptation into planning, delivery and monitoring	In 14 districts, only 70 VDCs were able with functional mechanism to integrate CC adaptation into planning, delivery and reporting. The evaluation assessed that evidence is still limited for evidence based monitoring system.	Satisfactory
	2.3: Number of districts with Local Adaptation Fund operating with appropriate fiduciary safeguards in place	Nine districts established District Local Adaptation fund, however the fund required understanding on operation mechanism with appropriate fiduciary safeguards in place, however no funds were in operation by districts.	Not Satisfactory
3. Institutional and financing mechanisms of the GoN established/further developed for supporting CCA	3.1: Role of MCCICC expanded and coordination functions of the MCCICC developed	The project failed to regularize meeting of MCCICC in order to formalize the operational guidelines with expanded roles and scope to coordinate and harmonize unifies response to CCA. Only preparatory meeting was held in July 2017 for upcoming MCCICC.	Not satisfactory
	3.2: Government of Nepal formulates and implements Climate Change Strategy	The project supported for the formulation of Low Carbon Economic Development Strategy, however waiting the approval from the council of minister's office.	Moderately Satisfactory
	3.3: Climate change fund flow mechanism operating at national level with appropriate financial safeguards in place	Project supported in developing the fund flow mechanism at the national level, still in the process of further refinement and endorsement by concerned body.	Moderately satisfactory

	3.4: Number of Public Private Partnerships (PPP) delivering effective climate change adaptation	No PPP for delivering climate change adaptation	Not satisfactory
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## Annex 9b): Overall Output Progress assessment of NCCSP I –TE

Outputs	Output Indicators	Output Progress	Rating
<b>1:</b> Climate resilient project identified (1-7) implemented in each 14 Palikas and provisioned for their operation and maintenance agreed by Palikas	1.1 Number and type of CRDPs implemented in a timely manner	The project supported 79 CRDPs (water protection, wetland management, irrigation canal support, road maintenance, retention wall, embankment) and was completed in a timely manner.	Satisfactory
	1.2 Guidelines for operation and maintenance of CRD projects in place	Most of the Palikas formulated the operation and maintenance guidelines, yet to be endorsed by Palikas. Fund has also been secured for maintenance in future.	Satisfactory
	1.3 Contribution of local government to CRDP activities as a percentage of total budget	Almost all Palikas (10-15%) contributed as matching funds to CRDP activities as percentage of the total budget	Satisfactory
	1.4 Number of direct and indirect beneficiaries by gender, dalit households, women headed households	The exact number of indirect and direct beneficiaries not calculated by project, however ensured women representation in two key position in the user committee.	Satisfactory
<b>2.</b> Overall capacities of selected 14 Palikas for climate responsive planning, including maintenance, financial management, quality assurance, fiduciary risk management, social accountability enhanced for implementation of climate resilient development projects	2.1 Number of Palikas with CRD approach mainstreamed into their 2019/20 plan	CRD approach mainstreamed by only few, some of the uncompleted initiatives to be completed by Palikas through their own financial resources in coming year.	Moderately Satisfactory
	2.2 Capacity development plan for each Palika built on existing capacity need and clarity on "what success would look like"	Feasibility study of 79 CRDPs in 14 Palikas conducted, Capacity need assessment (financial, technical, social accountability etc) of Palikas conducted	Moderately Satisfactory
	2.3 Number of Palikas contributing social audits on investment project	Social audit conducted for all supported CRDPs however recommendation not harmonized into next step	Moderately Satisfactory
	2.4 Mechanism for each Palikas to receive external support for CRD in place	Project supported Palikas for CRDP implementation, no such mechanism in place to receive extra support for CRP in future	Moderately Satisfactory
<b>3.</b> To support MoFE in formulation of climate resilient development strategies, frameworks and/or	3.1 Documentation of process and learning from ongoing CRD implementation in 14	Documentation of process and learnings from ongoing CRDPs of Palikas done (the product yet to finalize)	Moderately Satisfactory

guidelines as relevant through documentation of learning and evidences	Palikas		
	3.2 Documentation on capacity building process and result during implementation	Very limited documentation done on capacity building process (only captured in progress report)	Moderately Satisfactory
	3.3 Generate evidences with photos for policy advocacy for climate resilient development	Photographic changes captured but not into use for policy advocacy purpose	Moderately Satisfactory

## **Annex 10: Human Resource allocation: NCCSP phase- 1**

### **Government Deputed staff**

1. National Programme Director- Joint Secretary, Climate Change Division
2. National Programme Manager, Under Secretary, Climate Change Division
3. Programme Officer – Agro-economist
4. Account Officer

### **Project recruited staff**

<b>S.N.</b>	<b>Position Title</b>	<b>Number of posts</b>	<b>Duty Station</b>
<b>Programme Central Office</b>			
1	Senior Climate Change Expert	1	PCO, MoSTE
2	Deputy Programme Manager	1	PCO, MoSTE
3	Finance and Account Officer	1	PCO, MoSTE
4	M&E Specialist	1	PCO, MoSTE
5	Climate Change Officer	2	1 at MoFALD and 1 at AEPC
6	Administration and Finance Assistant	1	PCO, MoSTE
7	Drivers	2	PCO, MoSTE
8	Messenger	1	PCO, MoSTE
<b>Programme Regional Offices</b>			
9	Gender and Social Inclusion Specialist	1	PRO Dang
10	Regional Climate Change Coordinators	6	4 PROs (2 in Kailali, 2 in Jumla, 1 in Dailekh and 1 in Dang)
<b>District Energy, Environment and Climate Change Sections</b>			
11	District EECC Co-ordinator	14	DEECCSs
12	District Climate Change Officer	14	DEECCSs
13	District Administration and Finance Assistant	14	DEECCSs

### Transition Extension (CRDP)- Human resource allocation

<b>Project Management Unit, Kathmandu</b>		
1	National Programme Manager	1
2	Climate Resilience Officer	1
3	Monitoring, Communication and Reporting Officer	1
4	Admin and Finance Officer	1
5	Project Assistant	1
6	Driver/Messenger	1
<b>Field Office- Surkhet</b>		
1	Field Oordinator	1
2	Resilient planning and monitoring officer	1
3	Civil Engineer (infrastructure)	2
4	Admin and Finance associate	1
5	Driver	1
6	Messenger	1
<b>Palika Offices</b>		
1	Palika Climate Coordinator	14
2	Palika admin and Finance Assistant	14
<b>Total Project Staff</b>		<b>41</b>

**Annex 11 a: Cost share of different institutions (revenue and expenses)**

			Total Revenue Collection							
Donor	Donor Code	Fund	2013	2014	2015	2016	2017	2018	2019	Total Amount
<b>GoN</b>	00180	30071	1,546,611	1,075,387	1,229,454	596,893	779,698	537,858		<b>5,765,901</b>
<b>UNDP</b>	00012	04000	7,155	148,292	93,130	83,424	83,771	97,707		<b>513,479</b>
<b>DFID</b>	00551	30000	87,373	0	0	0	402,685	1,940,857	809,835	<b>3,240,750</b>
<b>Total Budget</b>			<b>1,641,139</b>	<b>1,223,679</b>	<b>1,322,584</b>	<b>680,317</b>	<b>1,266,154</b>	<b>2,576,422</b>	<b>809,835</b>	<b>9,520,130</b>

			Total Expenditure							
Donor	Donor Code	Fund	2013	2014	2015	2016	2017	2018	2019	Total Amount
<b>GoN</b>	00180	30071	576,465	1,174,918	1,182,377	1,011,633	1,271,546	243		<b>5,217,182</b>
<b>UNDP</b>	00012	04000	7,155	148,292	93,130	83,424	83,771	97,707		<b>513,479</b>
<b>DFID</b>	00551	30000	88,105	(68)			2,110	1,208,032	2,238,654	<b>3,536,833</b>
<b>Total Budget</b>			<b>671,725</b>	<b>1,323,142</b>	<b>1,275,507</b>	<b>1,095,057</b>	<b>1,357,427</b>	<b>1,305,982</b>	<b>2,238,654</b>	<b>9,267,494*</b>

\*Note: December's financial settlements are not entered and reflected in the UNDP ATLAS system. Final figure of expenses will be received from the system by April 2020.

## Annex 11 b. Details of output wise financial progress (UNDP TA component and TE only)

### Output wise details

Year	2013		2014		2015		2016		2017		2018		2019		Grand Total		
Output	Budget	Exp	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure	(%)
Output-1	280,956	295,700	226,303	204,026	333,776	226,572	258,181	283,907	122,048	134,476	230,381	245,362	1,825,924	1,769,710	3,277,569	3,159,753	96%
Output-2	107,842	110,223	73,928	49,492	1,062,678	1,048,935	844,057	811,150	137,148	156,819	323,432	330,522	18,438	16,366	2,567,523	2,523,507	98%
Output-3	105,630	120,416	1,011,106	993,871					87,967	47,417	31,336	30,560	76,489	73,864	1,312,528	1,266,128	96%
Output-4	177,297	145,386		75,753					1,001,428	1,018,715	749,398	699,538	434,386	378,713	2,362,509	2,318,105	98%
Total Budget	671,725	671,725	1,311,337	1,323,142	1,396,454	1,275,507	1,102,238	1,095,057	1,348,591	1,357,427	1,334,547	1,305,982	2,355,238	2,238,654	9,520,130	9,267,494	97%

## **Annex 12. Code of Conduct**

### **United Nations Evaluation Group Code of Conduct for Evaluation in the US System**

#### **Evaluation Consultants Agreement Form**

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.

#### **Agreement to abide by the Code of Conduct for Evaluation in the UN System, 2008**

Name of Consultant: **Laxmi Dutt Bhatta**

Name of Consultancy Organisation (where relevant): Not applicable

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation in the US System, 2008.

Signed at UNDP Nepal Office on 3<sup>rd</sup> Dec 2019, Kathmandu

Signature: 

United Nations Evaluation Group Code of Conduct for Evaluation in the US  
System

**Evaluation Consultants Agreement Form**

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.

**Agreement to abide by the Code of Conduct for Evaluation in the UN System, 2008**

Name of Consultant: **Shalu Adhikari**

Name of Consultancy Organisation (where relevant): Not applicable

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation in the US System, 2008.

Signed at UNDP Nepal Office on 3<sup>rd</sup> Dec 2019, Kathmandu

Signature:

A handwritten signature in black ink, appearing to be 'Shalu Adhikari', written over a light blue circular stamp.