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## **PROJECT TERMINAL EVALUATION**

### **ENHANCING CAPACITIES OF RURAL COMMUNITIES TO PURSUE CLIMATE RESILIENT LIVELIHOOD OPTIONS IN THE SÃO TOMÉ AND PRÍNCIPE DISTRICTS OF CAUÉ, MÉ-ZÓCHI, PRÍNCIPE, LEMBÁ, CANTAGALO AND LOBATA (CMPLCL)**

UNDP PIMS 4645

GEF ID 5184

GEF FOCAL AREA: CLIMATE CHANGE ADAPTATION

STRATEGIC PROGRAM OF GEF 5:

SP 2. SCALING UP CLIMATE RESILIENT LIVELIHOODS AND RISK MANAGEMENT (LDCF, SCCF, AF)

IMPLEMENTING PARTNER: THE MINISTRY OF AGRICULTURE, FISHERIES AND RURAL DEVELOPMENT (MOAFRD)

REGION: AFRICA

COUNTRY: SAO TOME & PRINCIPE

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## Contents

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Acronyms	6
<b>1. Executive Summary</b>	<b>7</b>
1.1. Project information table	7
1.2. Project description	7
1.3. Evaluation rating table	9
1.4. Summary of findings, conclusions and lessons learned	10
1.5. Recommendations	11
<b>2. Introduction</b>	<b>13</b>
2.1. Purpose and objective of the Terminal Evaluation (TE)	13
2.2. Scope	13
2.3. Methodology of the evaluation	14
2.4. Data collection and analysis	15
2.5. Ethics	16
2.6. Limitations to the evaluation	16
2.7. Structure of the TE report	16
<b>3. Project description and development context</b>	<b>18</b>
3.1. Project start and duration, including milestones	18
3.2. Development context in São Tomé and Príncipe	18
3.3. Problems that the project sought to address	19
3.4. Immediate and development objectives of the project	19
3.5. Expected results	20
3.6. Main stakeholders	21
3.7. Theory of Change	22
<b>4. Findings</b>	<b>23</b>
<b>4.1 Project design</b>	<b>23</b>
4.1.1 Analysis of the results framework	24
4.1.2 Assumptions and risks	25
4.1.3 Management arrangements	26
4.1.4 Lessons from other relevant projects	27
4.1.5 Planned stakeholder participation	28
4.1.6 Linkages between the project and other interventions within the sector	28
4.1.7 Replication approach	28
4.1.8 UNDP comparative advantage	28
<b>4.2 Project Implementation</b>	<b>29</b>
4.2.1 Adaptive management	29
4.2.2 Actual stakeholder participation	30
4.2.3 Partnership arrangements	30
4.2.4 Project Finance and Co-Finance	31
4.2.5 Monitoring and evaluation	33
4.2.6 UNDP and implementing partner implementation/execution coordination and operational	35
4.2.7 Risk management	37
<b>4.3 Project results</b>	<b>38</b>
4.3.1 Progress towards objective and expected outcomes	38
4.3.2 Relevance	49

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4.3.3 Effectiveness	50
4.3.4 Efficiency	50
4.3.5 Sustainability	51
4.3.6 Country ownership	54
4.3.7 Gender equality and women’s empowerment	55
4.3.8 Catalytic Role / Replication Effect	55
4.3.9 Mainstreaming	56
4.3.10 Impact	57
<b>5. Conclusions, recommendations and lessons learned</b>	<b>59</b>
5.1 Conclusions	59
5.2 Corrective actions for the design, implementation, monitoring and evaluation of the project	60
5.3 Actions to follow up or reinforce initial benefits from the project	61
5.4 Proposals for future directions underlining main objectives	63
5.5 Best and worst practices in addressing issues relating to relevance, performance and success	63
<b>6. Annexes</b>	<b>65</b>
<u>Annex 1 – Terms of Reference</u>	<u>66</u>
<u>Annex 2 - TE Mission itinerary</u>	<u>70</u>
<u>Annex 3 - List of persons interviewed</u>	<u>71</u>
<u>Annex 4 – List of documents reviewed</u>	<u>72</u>
<u>Annex 5 – Summary of field visits</u>	<u>73</u>
<u>Annex 6 – Evaluation Question Matrix</u>	<u>77</u>
<u>Annex 7 - Questionnaire used</u>	<u>87</u>
<u>Annex 8 - Summary of MTR recommendations and project’s response</u>	<u>93</u>
<u>Annex 9 – TE rating scales</u>	<u>95</u>
<u>Annex 10 - Signed Evaluation Consultant Agreement form</u>	<u>96</u>
<u>Annex 11 – Signed UNEG Code of Conduct form</u>	<u>98</u>

## Tables

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Table 1. Main climate hazards of the project intervention areas	19
Table 2. Logical framework of the project	20
Table 3. List of key project stakeholders and their role in the project	21
Table 4. Analysis of the project indicators – Specific, Measurable, Achievable, Relevant, Time-Bound (SMART).	25
Table 5. List of complementary projects implemented in São Tomé and Príncipe	28
Table 6. Planned budget per project component and matching co-financing	31
Table 7. Planned co-financing by source	32
Table 8. Matrix for rating the Achievement of Outcomes	38
Table 9. Achieved results with regards to capacity building	43
Table 10. Summary of climate risks and implemented interventions in project communities.	46

## Figures

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Figure 1. Theory of change for the project.	22
Figure 3. Annual project expenditure until 2018. Source: MTR, 2018.	32
Figure 4. Project cumulative disbursements as of 2019. Source: PIR, 2019.	33

## Acronyms

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<b>CADR</b>	Centre for Support of Rural Development of the Ministry of Planning and Development
<b>CATAP</b>	Center for Agro-Pastoral Development
<b>CC-VAAP</b>	Annual and multiyear adaptation plans
<b>CIAT</b>	Agricultural Research and Technology Centre
<b>CO</b>	Country Office
<b>CSOs</b>	Civil Society Associations
<b>EA</b>	Executing Agency
<b>GEF</b>	Global Environment Facility
<b>IAMs</b>	Integrated Adaptation Measures
<b>MARD</b>	Ministry of Agriculture and Rural Development
<b>MFI</b>	Micro-Finance Institutions
<b>MoPWINRE</b>	Ministry of Public Works, Infrastructure, Natural Resources and Environment
<b>MTR</b>	Mid-term Review
<b>NAPA</b>	Country's National Adaptation Programme of Action
<b>NGOs</b>	Non-Governmental Organisations
<b>PB</b>	Project Board
<b>PIR</b>	Project Implementation Review
<b>PMU</b>	Project Management Unit
<b>SMART</b>	Specific, Measurable, Achievable, Relevant, Time-Bound
<b>TOC</b>	Theory of Change
<b>UNDP</b>	United Nations development Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>VCA</b>	Vulnerability and Capacity Assessment
<b>VRA</b>	Vulnerability Perception-based Index

## 1. Executive Summary

### 1.1. Project information table

<b>Project title</b>	Enhancing capacities of rural communities to pursue climate resilient livelihood options in the São Tomé and Príncipe districts of Caué, Mé-Zóchi, Príncipe, Lembá, Cantagalo and Lobata (CMPLCL)			
<b>GEF Project ID:</b>	5184		at endorsement (Million US)	at completion (Million US)
<b>UNDP Project ID:</b>	PIMS: 4645	GEF financing	4,000,000	4,000,000
<b>Country:</b>	São Tomé and Príncipe	IA/EA own: UNDP (Grant)	-	-
		IA/EA own: UNDP (In kind)	-	-
<b>Region:</b>	Africa	Government	15,576,281	15,576,281
<b>Focal Area:</b>	Climate Change Adaptation SP 2. SCALING UP CLIMATE RESILIENT LIVELIHOODS AND RISK MANAGEMENT (LDCF, SCCF, AF	Other		
<b>FA Objectives, (OP/SP)</b>		Total co-financing	15,576,281	15,576,281
<b>Executing Agency</b>	Ministry of Agriculture and Rural Development (MARD)	Total Project Cost	19.576,281	19.576,281
<b>Other partners involved</b>	-Center for Agro-Pastoral Development (CATAP)	Prodoc signature (date project began)		27-Apr-15
	-Agricultural Research and Technology Centre (CIAT)			
	-The Centre for Support of Rural Development of the Ministry of Planning and Development (CADR)	Operational closure date		
	- District Authorities - Local communities	Proposed:	Actual	
	- Observatory / Directorate-General for Environment	31 December 2019		

### 1.2. Project description

São Tomé and Príncipe is a small island country particularly vulnerable to climate-related hazards such as decrease and variation of the rainfall pattern, longer episodes of drought, coastal erosion and temperature raise. In the future, this climate change pattern is expected to result in decrease of productive zones and agricultural yields, changes to the soil's organic matter, decrease of farmers' revenue and the risk of revenue-generating crops to become unfeasible due to reduction and variation of rainfall. Sao Tomé and Principe agriculture is characterized by a very low productivity mainly due to the lack of good farming practices, the inadequate agricultural support infrastructures (irrigation schemes, rural markets, rural roads) and limited capacity of the advisory support.

The project aimed to address institutional and technical barriers by enhancing institutional and individual capacity to plan for the effects of climate change in the agriculture, while introducing innovative adaptation technologies. The overall objective of the project “Enhancing capacities of rural communities to pursue climate resilient livelihood options in the São Tomé and Príncipe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo and Lobata (CMPLCL)” is to strengthen the resilience of rural community livelihood options against climate change impacts. To achieve its objective, the project planned to deliver the following three main outcomes: i) Strengthen the capacity of the Center for Agro-Pastoral Development (CATAP), and the Agronomical Research Institute (CIAT), District Governments and Assemblies, District Councils, Civil Society Organizations and Community Based Organizations to support the enhancement of climate resilience or rural community livelihoods; ii) Reduce the vulnerability of rural livelihoods to climate risks through climate risks management infrastructures and mechanisms; iii) Design and transfer adaptation strategies to strengthen communities’ climate resilience in the 30 most vulnerable villages of the 6 districts of São Tomé and Príncipe. The outcomes include:

Outcome 1 focused on the development of capacities at institutional and local level. The capacity building has reached a substantial number of decision makers, technicians, extensionists and farmers, thus becoming a pioneer project in raising the awareness of the public on climate change and agriculture. Capacities strengthening included technical assistance partnerships and involved the development of production advisory services, the development of production technologies adapted to climate change and a capacity building programme as a tool to enhance better services to support the producer, disseminate new technologies and increase the capacity of crop diversification.

Outcome 2 sought to implement adaptation interventions such as irrigation systems, rainwater harvesting and erosion control measure to address identified climate risks in the project sites. As part of this, the project supported the rehabilitation and construction of three irrigation systems and planting of trees, as well as promoting agricultural terracing. While the irrigation systems generated considerable impacts for smallholder farmers, the impact of tree planting and terracing could not be assessed as there was limited strategic approach to those interventions. Rainwater harvesting interventions were not implemented due to lack of technical assistance.

Outcome 3 focused on the adoption of climate change adaptation solutions by the community and in particular access to micro-credit at community level. At municipal level, it focused on participatory planning for the preparation of multi-year adaptation plans. The project’s micro-credit component was cancelled due to the high risk of repayments, absence of beneficiary guarantors, and the non-existence of a reliable financial institution available to implement the microcredit mechanism. Instead, based on communities’ needs assessment, the project implemented other interventions such as greenhouses, solar freezers, pigsties and poultry. These interventions promoted cooperative model of management and were implemented to generate additional income for the farmers as an element of increasing their resilience. Annual adaptation plans were not developed in the timeframe of the project due to limited technical assistance and collaboration with municipal agencies.



### 1.3. Evaluation rating table

As part of the TE, a table with the summary ratings of the project’s results and performance are provided in a *TE Ratings & Achievement Summary Table*.

Criteria	Rating	Notes
<b>Monitoring and evaluation: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)</b>		
Overall M&E	MS	M&E requirements for the project were met but there were several gaps in the results framework and measuring and reporting outcomes, impact, and lessons.
M&E design	MS	Narrative of the M&E process and M&E plan were generally adequate, but many results framework indicators were not relevant and SMART.
M&E implementation	MS	M&E processes were adequately followed, but specific assessments to establish baseline were conducted with a delayed and thus some outcomes of the project were difficult to evaluate.
<b>IA &amp; EA Execution: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)</b>		
Overall quality of Implementation/Execution	S	Implementing and executing agencies provided adequate support to a highly motivated and empowered PMU.
Quality of UNDP Implementation/Oversight	S	UNDP provided sufficient technical, administrative and risk management support throughout the project implementation timeframe
Quality of Implementing Partner Execution	S	Ministry of Agriculture effectively participated in the management structures, ensured cooperation at field level, and mainstreamed climate change in the institution.
<b>Outcomes: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)</b>		
Relevance	R	The project contributes to country climate change and development strategies and plans, UNDP and GEF objective and national SDGs.
Effectiveness	MU	Most outcome targets were achieved (outcome 1 and partly Outcome 2), however Outcome targets 3 were achieved to a lesser extent.
Efficiency	MU	Project delivered outputs within expected timeframe with short extension; However, benefit-cost ratio, i.e. ratio of project benefits (household income and environmental benefits to investment (project expenditure) were not possible to estimate due to lack of information.
<b>Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U)</b>		
Overall likelihood of sustainability	ML	Project investment are of good quality, which are likely to sustain benefits for several years. Government support, capacity building for operation and maintenance as well as strong community ownership of the majority of interventions enhance the potential for sustainability of the project interventions.
Financial sustainability	ML	Communities can spare funds for routine maintenance but do not have funds for major repairs. There are no clearly designated agencies or options to provide such funds.
Socio-economic sustainability	ML	Communities and government officials have good ownership of project investments. Communities organizations need more capacity building and be sustained beyond project finalization.
Institutional framework and governance sustainability	L	There is accountability within the government.
Environmental sustainability	L	Project investments do not pose any significant environmental threat.
<b>Impact: Significant (S), Minimal (M), Negligible (N)</b>		

Overall project results	M	The project has succeeded in meeting some of its objective. Capacity building and mainstreaming of climate change in agriculture has been achieved at local and institutional level. Livelihoods of target rural communities have improved, and women have been empowered. However, local planning for climate adaptation and exposure to climate induced disasters has observed modest improvements, The project plays a catalytic role in attracting more funds for climate change adaptation in agriculture in Sao Tome and Principe.
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## 1.4. Summary of findings, conclusions and lessons learned

The project has been visionary in capturing the need for climate adaptation in the agricultural sector in São Tomé and Príncipe through a collective national and local effort. The project has made important contributions to strengthen adaptive capacity at national and local level and has been able to develop a promising agricultural transformation towards climate resilience. By doing so, the project has laid the foundations for subsequent actions of resilience building in the agricultural sector.

***Conclusion 1: The project’s design and objectives were overly ambitious for the country’s context, nevertheless the project achieved considerable results in increasing the vulnerability of the communities***

Overall, the project’s design and objectives seemed to be very ambitious in the country context of São Tomé and Príncipe. The country is one of the least developed countries and faces challenges in terms of governance and implementation capacities at all levels – governmental and non-governmental, policy coordination, implementation and enforcement, and research. The project was the first of its kind in São Tomé and Príncipe. It was also the first adaptation-related project implemented by the project partners. While, the project achieved substantial results in terms of mainstreaming climate change adaptation in the agriculture sector, the adaptation focus of the project was weakened and most of the activities ended up with a community development focus. This aspect has limited the achievement of the project’s objectives.

***Conclusion 2: The project adopted strong gender-sensitive and participatory approach at planning and implementation stages, which ensured effectiveness of interventions and ownership***

The project demonstrated strong participatory approach towards all relevant stakeholders at national and community level. Community members (both women and men) were engaged in the baseline analysis and decision making for the selection of adaptation measures in each village. This resulted in community-led initiatives, which were then implemented with the strong participation of the communities, thus ensuring effectiveness and ownership in the long-term. Several interventions such as food processing centers and solar dryers were designed to benefit women and increase in their incomes. Although these interventions are currently in process of redesign, women were socially organized to support each other and are giving greater role to women as they can generate additional income.

***Conclusion 3: The weak adaptation focus limited the achievement of the project’s objective to increase the resilience of farmers***

The project achieved considerable advances in the introduction of innovative agricultural technologies e.g. greenhouses and pigsties, which resulted in increased production and cash flow for farmers. This contributed to the improvement of some aspects of resilience, however, did not directly address the identified climate hazards and impacts such as droughts and floods.

***Conclusion 4: Inadequate time for testing the innovative technologies has incurred high costs and generated challenges for implementation***

The project focused on the promotion of greenhouses as a solution to avoid agricultural production reduction due to drought and plant diseases. Greenhouses are an innovative technology for São Tomé and Príncipe. Construction materials and expertise were missing at the moment of the project implementation, as well as the expertise from CIAT. This has led to multiple challenges in the implementation and management of the technology.

***Conclusion 5: Limited collaboration with local governance, NGOs and CSOs may have resulted in missed opportunities***

The project actively cooperated with relevant, however, there was limited cooperation with local governments, NGOs and CSOs. Given the key role of local governments and NGOs for planning and technical assistance at local level, the absence of collaboration with the project may result in challenges for the sustainability of the project's results and in lost opportunities for replication of project results.

***Conclusion 6: The weak emphasis on knowledge management limited the project's potential to demonstrate evidence of effective adaptation***

This project piloted a great diversity of interventions. On all levels, but specifically with regards to the adaptation options on the community level, there were some very interesting demonstrations of innovative practices. However, due to the limited knowledge management aspects of the project, no systematic documentation of the investments, processes and performance of the demonstrations is available.

## **1.5. Recommendations**

**Recommendation 1: Institutionalise capacity building on climate resilient agricultural practices**

Climate change and resilient agricultural practices continue to be a rather new topic for São Tomé and Príncipe. It is recommended to have a focal point on climate change and agriculture, especially in the implementing partners institutions, to coordinate relevant climate adaptation activities and planning strategies and ensure the sustainability of the project results.

**Recommendation 2: Strengthen the climate adaptation rationale in the project**

Adaptation measures have to be designed to directly address climate risks and provide co-benefits for development/economic assets. Vulnerability and risk assessments are key tools to inform adaptation needs and are required to strengthen the adaptation rationale of project activities. Additionally, locally adapted solutions have the highest potential to address specific local adaptation needs.

**Recommendation 3: Introduction and scaling-up of innovative adaptation technologies must be fully planned from the project design stages and properly resourced**

The introduction of innovative technologies such as greenhouses requires testing and research through pilot sites. Developing innovative local solutions for agricultural innovations can create new local markets and involve the private sector in adaptation initiatives, thus supporting the sustainability of the project results.

#### **Recommendation 4: Enhance sustainability by deepening relationships with local authorities**

Collaboration between local technical government departments and community members ensures that project activities are more likely to be sustained over time. Engaging closely with a range of sub-national government departments in developing and implementing project activities would help those departments to more effectively meet their responsibility to provide services to communities. A closer engagement would also help build their capacity to provide ongoing support to local adaptation actions in a collaborative and holistic manner and reduce overlap and duplication of efforts.

#### **Recommendation 5: Enhance local data collection and knowledge management on best practices**

To design and implement effective adaptation initiatives it is key to learn and build on experience and best practices, local data and information. There is a need to introduce a more rigorous knowledge generation and effective management process to inform solid investments rather than short-term solutions. This can be remedied by improving data monitoring and processing systems for the project, adopting suitable methodologies and process, and applying practical methods and tools to conduct gender-sensitive risk and vulnerability assessments, analyse transformation institutional processes, test innovations and document lessons learned. Engagement with the farmers (both men and women) with regards to data collection is key for generating localised data and information.

## 2. Introduction

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### 2.1. Purpose and objective of the Terminal Evaluation (TE)

As per the Terms of References (Annex 1), the main objectives of this evaluation are to:

- Review the entire project from inception to completion with a strong results-based orientation, applying the rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects;
- Assess the performance of the project in achieving its results, outcomes and impacts based on the project's logical framework/result framework.
- Assess whether the project has demonstrated: a) verifiable improvements in ecological status; b) verifiable reductions in stress on ecological systems; and c) progress towards the project's impact achievements;
- Draw lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP programming;
- Assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

### 2.2. Scope

The scope of the TE included:

- Identification of the outputs produced by the project, analysed which factors have contributed to their achievements and how they have or have not contributed to the project's outcomes;
- Assessment whether the stated outcomes/outputs as defined in Project Logical Framework were achieved;
- Identification of the results and transformational changes that have been produced by the project;
- Additionally, analysis of:
  - which factors contributed to the effectiveness of the project;
  - the added value of the consultative multi-stakeholder process;
  - the synergies with other projects/programmes and the partnership strategy;
  - the sustainability of the project's impacts;
  - how effectively equality and gender mainstreaming have been incorporated in the design and execution of the project;
- Presentation of conclusions and recommendations for future projects to be implemented by the UNDP.

## 2.3. Methodology of the evaluation

This evaluation is based on the standard OECD-DAC evaluation criteria of relevance, efficiency, effectiveness, impact, and sustainability and this is in line with the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF financed projects.

The evaluation has followed a participatory and consultative approach, ensuring close engagement with key government counterparts, the UNDP Country Office, the project team, and key project beneficiaries and other key stakeholders. A gender equality and human rights perspective was streamlined throughout the evaluation approach. In particular the evaluation aimed to engage an equal number of men and women beneficiaries in the consultation process to obtain a balanced viewpoint regarding the project outcomes and results. The evaluation as well assessed the extent to which participation and inclusiveness (both for men and women) was maximized in the project's interventions planning, design, implementation and decision-making processes.

The evaluation exercise included the following stages:

- a) A desk review
- b) Field visit to São Tomé
- c) Stakeholder interviews
- d) Focus group

### a) Desk review

The review of the key documentation provided by the UNDP project team (and complemented by E Co's team's own research and access to materials through contacts with key stakeholders) provided a baseline of information for answering the evaluation questions and helped to identify key areas for analysis, information gaps, and data collection needs for the interviews and focus groups organised in Sao Tome. The list of documents reviewed is presented in Annex 5.

### b) Field visit to São Tomé and Príncipe

The field visit to São Tomé took place between 3-13 December 2019 and Príncipe between 15-17 January 2020. Altogether 12 villages were planned to be visited. The selection of the communities to be visited was based on the following criteria: (i) balance between the different technologies to achieve representativeness of each adaptation technology; (ii) at least two villages per Province and (iii) emblematic case studies of project interventions.

### c) Stakeholder interviews

For collection of qualitative data, semi-structured interviews were conducted with different stakeholders, both internal to UNDP and external, to fill the information gaps of the desk review and also to triangulate information collected during the desk review. The key stakeholders to be interviewed will be identified in coordination with UNDP. The interviewed stakeholders include the following groups:

- Project team
- UNDP team
- Partner implementers
- Beneficiaries of the project
- Government representatives and local authorities

- Local communities
- Donors

The scope of the semi-structured interviews and consultations with the stakeholders (see Annex 3), was guided by the Evaluation Question Matrix (Annex 6). For each of the key informant groups, an interview questionnaire and protocol were developed, and these are presented in Annex 7. They provided the basis for semi-structured interviews tailored to the experience and knowledge of each group of key groups.

#### **d) Focus group**

**The focus groups** had the objective to collect qualitative and quantitative information regarding the perceived level of improved capacity in the key institutions: The Agricultural Research and Technology Centre (CIAT) and The Centre for Support of Rural Development of the Ministry of Planning and Development (CADR). Two participants from each of these institutions participated in the focus groups. A survey on capacity building for CADR agricultural extensionists was also distributed among CADR staff.

The combination of primary and secondary data drawn from documentation, information gained from interviews, the focus group, the survey, as well as the E Co. team's observations, enabled the triangulation of key findings which are presented in Section 4.

## **2.4. Data collection and analysis**

The findings, conclusions and recommendations of this evaluation are based on:

**(a) Literature review:** Desktop review of key project documents listed in Annex 4;

**(b) Field visit to project sites:** A sample of 12 communities located in the five target districts in São Tomé were visited (Malanza, Praia Pesqueira, Soledade, Colonêa Açoriana, Uba Budo, Água das Belas, Bom Sucesso, Rio Lima, Fernão Dias, Roça S. João, Ribeira Funda, Paga-Fogo). Summary of the field visits is included in Annex 5;

**(c) Stakeholder interviews:** During the field visit 20 stakeholders were interviewed. The interviewees included 12 associations/cooperatives were consulted in São Tomé, and four communities in Príncipe Island; and five stakeholders from the Centre for Support of Rural Development of the Ministry of Planning and Development (CADR) and the Agricultural Research and Technology Centre (CIAT) were consulted through focus groups. Annex 3 provides the list of stakeholders interviewed, including the Project Management Unit, the UNDP Country Office (UNDP CO), and the Executing Agency (EA).

**d) Focus groups:** A focus group was facilitated with representatives from CADR and CIAT who have participated in the training sessions. There were 2 representatives from CIAT and three representatives from CADR. Following a wider focus group with agricultural extension services staff from CADR was convened to complete a survey for assessment of acquired capacities as a result of the project. The survey was responses by 14 extension services staff from CADR.

The information collected was analysed based on the standard OECD-DAC evaluation criteria of relevance, efficiency, effectiveness, impact, and sustainability:

Project design **analysis** (Section 4.1) used the SMART<sup>1</sup> analysis of indicators and looked at country ownership, i.e. participation of national government and non-government officials in the identification and preparation of the project design.

**Project implementation analysis** (Section 4.2) looked at the financial disbursements, including co-finance and administrative controls, audits, communication strategies, as well as agency performance. The assessment of agency performance, both for implementing (i.e. UNDP) and executing (i.e. Ministry of Agriculture and Rural Development) was based on the quality of administrative, technical and risk management support, as well as country ownership for the national implementing/executing agency.

**Project results analysis** (Section 4.3) were assessed against the criteria of **relevance, effectiveness, efficiency, impact and sustainability**:

- **Relevance** is a measure of the importance of the project outcomes and objective to the needs and challenges faced by vulnerable farmers.
- **Effectiveness** is the degree to which the project has achieved the expected outcomes, measured by the indicators of the logical framework analysis.
- **Efficiency** is a measure of how cost effective the project implementation was. Following UNDP-GEF guidance, cost-effective factors include the compliance with cost incremental criteria and securing committed co-funding, completion of outputs, and achievement of outcomes within the expected timeframe and budgetary constraints and/ or benefit-cost ratio compared with similar projects.
- **Sustainability** measures the extent to which benefits are likely to continue, within or outside the project domain, from a particular project or program after GEF assistance/external assistance has come to an end. Projects need to be environmentally as well as financially and socially sustainable
- **Impact** measures the changes caused by or attributed to the project in terms of reductions of vulnerability and environmental benefits.

## 2.5. Ethics

The TE was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluators have signed the Evaluation Consultant Code of Conduct Agreement form (Annex 10).

## 2.6. Limitations to the evaluation

The TE was conducted without any significant limitations.

## 2.7. Structure of the TE report

The report consists of:

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<sup>1</sup> Specific, Measurable, Attainable, Relevant and Time-bound, as defined in the UNDP Handbook on planning, monitoring and evaluating for development results.



**Section 1. Executive summary:** This section provides a brief summary of the major findings of the TE report.

**Section 2. Introduction:** This section presents the evaluation’s objective and the methodology for conducting the Terminal Evaluation.

**Section 3. Project description and development context:** This section provides a summary of the context and presents the key characteristics of the project.

**Section 4. Findings:** This section presents the findings of the terminal evaluation exercise in terms of project design, project implementation (administration and management), and project results.

**Section 5. Conclusions and recommendations:** The section outlines the main lessons learned, conclusions and recommendations of this study.

## 3. Project description and development context

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### 3.1. Project start and duration, including milestones

The project “Enhancing capacities of rural communities to pursue climate resilient livelihood options in the São Tomé and Príncipe districts of Caué, Mé-Zóchi, Príncipe, Lemba, Cantagalo and Lobata (CMPLCL)”, had the overall objective to strengthen the resilience of rural community livelihood options to climate change impacts in selected vulnerable areas. The project was implemented over a period of 4 years (2015 – 2019).

The project was designed to bring benefits at national and local level by strengthening the resilience of rural community livelihood options against climate change impacts in the São Tomé and Príncipe. The project aimed to support the increase of the agricultural productivity and production by strengthening adaptive capacity and introducing agricultural adaptation measures. The project’s direct beneficiaries included: i) the poorer segments of society, who do not necessarily benefit directly from large protective infrastructure projects; and ii) Agricultural and extension services and other user-agencies who will have increased capacity to take climate change into account in the context of long-term planning.

### 3.2. Development context in São Tomé and Príncipe

São Tomé and Príncipe is a small country comprised of an archipelago in the Gulf of Guinea. It is particularly vulnerable to climate hazards such as droughts, landslides and floods. In addition to this, the country has witnessed a significant variability of the climatic pattern, with rainfall declining to around 1.7 mm / year from 1951 to 2010. This, combined with the continuous expansion of the dry season (the “Gravana period”) that now lasts for six months (April to September), in contrast with the usual three-month pattern (June to August), is causing relative drought periods in some parts of the country, in particular in the North. This has had impacts on the production capacity.

Like other developing small island countries, São Tomé and Príncipe has a limited internal market. The country is highly dependent on a limited amount of export products (mainly cocoa) and shows high levels of imports of goods due to the low capacity of internal production. It is extremely vulnerable to exogenous factors, including the climate change global risks.

Despite the importance of agriculture to the economy and the rural communities, the sector is characterised by a low productivity level, mainly due to the lack of adequate agricultural practices, poor infrastructure (irrigation systems, rural markets, rural tracks), the absence of efficient technical assistance, difficulty to access quality inputs, and low market access. This agricultural framework is progressively deteriorating due to climate effects. This will further affect the level of poverty and food security and increase the dependency on import of goods and, therefore, the chronic trade balance deficit.

The project areas were characterized by high vulnerability and include the districts Caué, Mé-Zóchi, Príncipe, Lemba, Cantagalo and Lobata (Table 1). The selection criteria for the project intervention areas is not

immediately clear in the Project Document. It is not clear how all the communities fit into the priorities identified both in the NAPA and the Vulnerability Map elaborated by the Directorate-General for Environment. Even though most of communities in São Tome and Principe are vulnerable to climate change, this vulnerability should be prioritized according information collected, and defined by competent authorities at the national level.

Table 1. Main climate hazards of the project intervention areas

District	Mé-Zóchi	Lobata	Cantagalo	Lembá	Caué	Pagué / Príncipe
<b>Climate change induced issues</b>	Recurrent droughts and excessive rainfall /Landslides /Erosion	Recurrent droughts of 5 months in the past 5 years	Increase in storms /Recurrent droughts of 5 months in the past 5 years	Recurrent droughts of 5 months in the past 5 years	Reduction in rainfall/ Increase in Storms/ Sea level rise/ Flooding	Increase in Storms/ Landslides / Severe coastal erosion

### 3.3. Problems that the project sought to address

The planning and consultation process during the project preparation phase identified three critical barriers to be addressed by the project. These are:

- **Barrier 1.** Limited climate change capacities of the key institutions of relevance to rural community livelihoods, notably CIAT, CATAP and CADR;
- **Barrier 2.** Weak access to relevant information on climate risks and their impacts on the key economic sectors and vulnerable communities for planning climate resilient agricultural activities;
- **Barrier 3.** Weak technical and financial capacity of farmers and poor access to credit.

### 3.4. Immediate and development objectives of the project

The overall objective of the project comprised of three interrelated outcomes:

- **Outcome 1:** The capacity of the CATAP, CIAT, district governments and assemblies, district councils, CSOs and NGOs are strengthened to support the enhancement of climate resilience of rural community livelihoods
- **Outcome 2:** The vulnerability of rural livelihoods is reduced through climate risk-supportive infrastructure and mechanisms
- **Outcome 3:** Adaptation strategies are designed and transferred to strengthen communities' climate resilience in the 30 most vulnerable villages of the six districts of of São Tomé and Príncipe.

The **project strategy was complex and hard to implement** taking into consideration the identified risks (weak institutional capacity, fragility in the coordination between parties, lack of community capacity to implement adaptation initiatives).

### 3.5 Expected results

The project strives to achieve its objectives through intervention in three components linked with each expected result with indicators listed in the project’s Logical Framework in Table 2:

- Strengthen the capacity of CATAP, CIAT, district governments and assemblies, district councils, Civil Society Organisations (CSOs) and Non-governmental Organisations (NGOs) to support the enhancement of climate resilience of rural community livelihoods;
- Reduce the vulnerability of rural livelihoods to climate risks through climate risk-management infrastructure and mechanisms;
- Design and transfer adaptation strategies to strengthen communities’ climate resilience in the 30 most vulnerable villages of the districts of CMPLCL of São Tomé and Príncipe.

Table 2. Logical framework of the project

Indicator	Baseline level	Mid-term target level	End of Project target level
<b>Objective:</b> To strengthen the resilience of rural community livelihood options against climate change impacts in the São Tomé districts of Agua Grande de Caué, Mé-Zóchi, (RAP), Lembá, Cantagalo, and Lobata (CMPLCL).			
Percentage change in vulnerability of local community to climate risks via perception-based survey (VRA).	The PIF and local level assessments at demonstration sites during PPG consultation process indicates high vulnerability of the selected sites.	25% increase of VRA score	50% of VRA score
<b>Outcome 1:</b> The capacity of the CATAP, CIAT, district governments and assemblies, district councils, CSOs and CBOs is strengthened to support the enhancement of climate resilience of rural community livelihoods.			
1.1 Capacity perception index in CATAP, CIAT, CSOs, NGOs and district councils.	VRA to be undertaken at the project onset.		By year 4 of the project Target $\geq 3$
1.2 Number of Agricultural Extension staff trained (including on-the-job training scheme) on adaptation strategies to support village climate change platforms.	Currently the Ministry of Agriculture, Fisheries and Rural Development (MAPDR) has only two Agricultural Extension staff in each of the six CADR Extension delegations at	Not applicable	By the end of the project, at least 60 Agricultural Extension staff have been trained (including on-the-job training scheme) on adaptation strategies to support village climate change platforms.
<b>Outcome 2:</b> The vulnerability of rural livelihoods is reduced through climate risk-supportive infrastructure and mechanisms.			
2.1 Number of small-scale rainfall harvesting structure, number of water storage structures and/or small sale irrigation networks established at community level.	Currently no rainfall harvesting, no sizeable water storage structures and/or irrigation networks have been established at community level in the selected pilot sites.	Not applicable	By the end of the project, at least one rainfall harvesting structure, and/or one sizeable water storage structure and/or one irrigation network has been established at the community level in the selected pilot sites, particularly in drought prone areas.
2.2 Number of ha that has benefited from any form of	In the baseline no erosion control measures are being	Not applicable	By the end of the project, at least 30% of the identified

erosion control, as well as dykes and bunds to protect fields against flooding.	developed in the selected vulnerable locations.		eroded areas has benefited from any form of erosion control, as well as dykes and bunds to protect fields against flooding.
<b>Outcome 3:</b> Adaptation strategies are designed and transferred to strengthen communities' climate resilience in the 30 most vulnerable villages of the six districts of CMLPL of São Tomé and Príncipe.			
3.1 Number of climate change adaptation measures successfully implemented by the community members as a result of Project assistance.	Currently there is no GoSTP or Private assistance scheme operating in the selected vulnerable villages supporting implemented CCA measures by the community members and there is no CCA measures successfully implemented by the community members.	Not applicable	By the end of the project, at least two CCA measures have been implemented by community members as a result of project assistance.
3.2 Number of Integrated Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) that were successfully demonstrated and scaled up at community level.	No adaptation plans or strategies at local or community level	Not applicable	By the end of the project, at least 50% of IAMs included in the annual and multiyear adaptation plans (CC-VAAP) have been successfully demonstrated and scaled up at community level in the target vulnerable villages.

### 3.6 Main stakeholders

The main project stakeholders (including ministries, the private sector, and development partners) identified in the project design to be actively involved in project implementation are presented in Table 3 below.

Table 3. List of key project stakeholders and their role in the project

Institution	Role in the project
<b>Ministry of Agriculture, Fisheries and Rural Development (MARD)</b>	<ul style="list-style-type: none"> <li>Implementing Agency, responsible for project execution</li> <li>Responsible for implementing project activities</li> </ul>
<b>Center for Agro-Pastoral Development (CATAP)</b>	<ul style="list-style-type: none"> <li>Technical supervision of beneficiary farmers</li> <li>Technical support and advice for the benefit of the beneficiary communities</li> <li>Responsible for implementing the training programmes and the extension of good agricultural practices to adopt</li> <li>Support the CIAT in the design and implementation of a training package on climate resilient agriculture technologies packages</li> <li>Ensure the integration of climate change in any research programme on agriculture</li> </ul>
<b>Agricultural Research and Technology Centre (CIAT)</b>	<ul style="list-style-type: none"> <li>Responsible for the design and implementation of a training package on climate resilient agriculture</li> <li>Responsible for the identification and tests of climate resilient agriculture technologies</li> </ul>

<b>The Centre for Support of Rural Development of the Ministry of Planning and Development (CADR)</b>	Responsible for carrying out agriculture and fisheries extension support to local communities
<b>District Authorities</b>	Responsible for monitoring the activities and to develop and enhance the climate change platforms
<b>Local communities</b>	Main beneficiaries of the project
<b>Observatory / Directorate-General for Environment</b>	Involved in the georeferentiation training
<b>Civil Society Organisations</b>	Involved in capacity-building actions at institutional and community level

### 3.7 Theory of Change

The Theory of Change for the project was prepared following a recommendation from the Mid-Term Review (MTR), which was conducted in November 2018. Figure 1 shows the diagram of the Theory of Change designed during the MTR. This process identified the connections between the expected activities, the changes each activity intends to promote and how this set of changes leads to the expected outcomes and to the project objective. However, this strategic analysis was performed at an advanced stage of the project’s implementation, therefore its use to inform the forthcoming project activities has been limited.

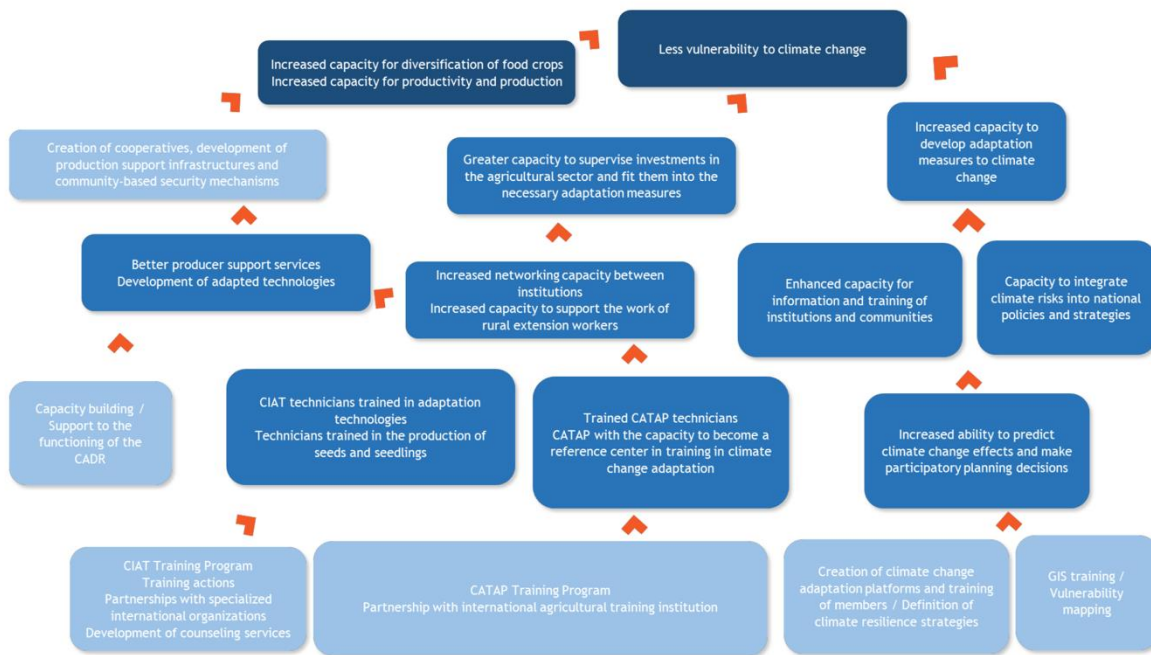


Figure 1. Theory of change for the project.

## 4. Findings

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### 4.1 Project design

The project design is relevant to the GEF objectives and to São Tomé and Príncipe's environmental and development context. In particular, the project objective is aligned with the national priorities in terms of climate change adaptation, as stated in the Second National Communication for the United Nations Framework Convention on Climate Change. As recommended in the National Communication, the project identifies the need to act at different levels: institutional capacity strengthening, direct support to the communities, and the need to define decentralised strategies for adaptation through the mobilisation of different agents.

The project presents a high geographical dispersion, and this has had impacts on the project's capacity to promote effective interventions to enhance climate resilience at the community level. The decision to intervene in 30 communities in six Districts in the country (including the Autonomous Region of Príncipe) was made without a robust vulnerability assessment allowing for the prioritisation of a smaller set of project sites. Therefore, the support to 30 communities (note that this number increased to 32 in the course of the project) has been an operational obstacle to project implementation with regards to the physical distance between the sites, but also the limited budget to implement the planned activities in such a wide range of settings. The project has taken an adaptive approach to address this challenge, focusing on one or two interventions for each site to comply with the project design and objectives.

The project strategy would have benefitted from clear and objective criteria to select the communities based on their level of vulnerability, for example. The Project Document describes the selected communities, but it is not clear how the selected communities fit into the priorities identified in both the NAPA and the Vulnerability Mapping elaborated by the Directorate-General for the Environment. In the Vulnerability Mapping, the major vulnerability zones are mapped according to different levels (potential drought, soil erosion, flooding, etc.). Even though most of the communities in São Tomé and Príncipe are vulnerable to climate change, the vulnerability assessment of the selected communities should have been prioritised according to the information collected and defined by competent authorities at the national level.

Overall, the project design and objective seemed to be very ambitious in the country context of São Tomé and Príncipe. The country is one of the least developed countries and faces challenges in terms of governance and implementation capacities at all levels, governmental and non-governmental, policy coordination, implementation and enforcement, and research.

The effects of climate change are not the only causes of communities' vulnerability and poverty in the country. There are many others that constraint the population and create other needs that are deemed more urgent to be resolved e.g. house rehabilitation, water supply, etc. The project considered these issues as they strongly influenced its focus from the initial assessment of communities' needs, during implementation, up to the end of the project. This matter should be foreseen at the project design or be accounted as a risk in order to drive the project to the desired results and seek synergy with other poverty reduction-oriented projects.

#### 4.1.1 Analysis of the results framework

The project objective, components, and outcomes are clearly defined in the Project Document. The outcomes have measurable indicators and targets, however, the indicators describing the outcomes are more relevant for outputs than for outcomes.

The overall objective of the project is measured by the indicator:

- **Indicator:** Percentage change in vulnerability of local community to climate risks via perception-based survey (VRA).

Despite the limitations of any perception index, this indicator is considered appropriate to measure the risk perception related to climate change. Nonetheless, this index should have been applied at the beginning of the project as part of the communities' baseline analysis. Because it was not applied, measuring the vulnerability perception in the course of the project was strongly compromised. Additionally, it would have been useful to also include a complementary indicator based on scientific data to complement the communities' perception, such as specific data about the vulnerability state of their agricultural production and livelihoods.

The Outcome 1 is measured by two indicators:

- **Indicator 1.1:** Capacity perception index in CATAP, CIAT, CSE, NGOs and district councils.
- **Indicator 1.2:** Number of Agricultural Extension staff trained (including on-the-job training scheme) on adaptation strategies to support village climate change platforms.
- 

The capacity perception index is appropriate to measure the evolution of the institutional capacities throughout the project and at the end of the project. However, as with the vulnerability perception index, this index needs to be developed and tested in the beginning of the project in order to provide a meaningful measure at the end of the project. Overall, the capacity building of the institutions involved should be linked to the ability to measure not only the number of people targeted for the training but also the capacity and skills of the staff to strategically plan adaptation solutions, to identify and design adaptation measures in the adaptation sector, and to manage and steer complex adaptation projects.

The Outcome 2 is measured by two indicators:

- **Indicator 2.1:** Number of small-scale rainfall harvesting structure, number of water storage structures and/or small scale irrigation networks established at community level.
- **Indicator 2.2:** Number of ha that has benefited from any form of erosion control, as well as dykes and bunds to protect fields against flooding.

The indicators describing Outcome 2 are well targeted and measurable. However, it should be considered that the indicators they are more relevant for Outputs rather than for an overall Outcome. The project would have benefited from indicators that could measure the number of people who have increased their resilience through access to water provision for agriculture during drought periods/benefited from stabilised agricultural land. Such indicators could provide information of the impacts achieved by the project such as the number of people with decreased vulnerability to droughts or soil erosion.



The Outcome 3 is measured by two indicators:

- **Indicator 3.1:** Number of climate change adaptation measures successfully implemented by the community members as a result of Project assistance.
- **Indicator 3.2:** Number of Integrated Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) that were successfully demonstrated and scaled up at community level.

Overall the results framework lacks consideration of indicators and targets, which can capture broader development impacts (i.e. income generation, gender equality and women’s empowerment, improved governance, livelihood benefits, etc.). The used indicators and targets do not reflect on the potential socioeconomic co-benefits from the project and lack the consideration of sex-disaggregated/gender-responsive information.

The further analysis of the indicators is based on Specific, Measurable, Achievable, Relevant, Time-Bound (SMART) assessment as described in Table 6 below.

Table 4. Analysis of the project indicators – Specific, Measurable, Achievable, Relevant, Time-Bound (SMART).

Indicator characteristic	Description
<b>Specific</b>	- Indicators are target oriented; however, they refer to outputs rather than outcomes.
<b>Measurable</b>	- Indicators under Outcome 3 consider activities to control erosion with a specific indicator for that purpose. However, the measurement of this indicator would require an initial mapping and georeferentiation that would allow for the application of control measures.
<b>Achievable</b>	- Indicators are ambitious and hard to measure, especially with a view to assessing project impacts with regards to communities’ vulnerability and institutional capacity.
<b>Relevant</b>	- All indicators are relevant, since they address national development priorities.
<b>Time-bound</b>	- The indicators are linked to the targets, which are clearly linked to specific timeframes. However, the time proposed to achieve some of the targets is not realistic, as the local contexts and capacity barriers have not been taken into consideration. - None of the indicators are linked to a specific date. The project faced a one-year delay during its inception; however, the proposed timetable was not updated accordingly.

#### 4.1.2 Assumptions and risks

The project has identified a comprehensive list of institutional, financial, social and economic risks which may potentially affect the project implementation. The mitigation measures provided by the Project Document are relevant and have to an extent minimized the risks. The identified risks include:

1. Insufficient institutional support and political commitments, and lack of coordination of key stakeholders
2. Lack of capacity of communities to develop Integrated Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) and not enough Extension Workers able to support rural areas and implementation of village annual and multiyear adaptation plans (CC-VAAP).
3. Weak institutional capacity at District level to oversee, support and guide the process of establishment of districts and villages CC Platforms (CC-DAVIP).

4. Microfinance Institutions (MFIs) aversion to risks can keep them from developing innovative products to finance adaptation, as they can be deterred from incurring upfront expenses even when the overall balance of costs and benefits is positive.
5. Continued decrease of commercial crop (cocoa, coffee, etc.) prices.
6. Poor coordination, weak capacity of relevant stakeholders and lack of willingness of community villagers to support implementation of climate change adaptation measures in target selected vulnerable village.
7. Climate risk reduction and alternative income generation activities' financing mechanisms increase indebtedness and vulnerability.
8. Communities may not adopt eco-system protection and enhancement measures

The majority of the planned mitigation measures were effective in minimizing the identified risks. In particular the activities relevant to capacity building have enhanced the engagement of stakeholders and their ownership of the project activities. The engagement with MFIs and their role in developing finance products has remained a challenge throughout the project and the planned mitigation measure has not been adequate to minimize this risk.

#### 4.1.3 Management arrangements

The project was nationally implemented (NIM) by The Ministry of Agriculture, Fisheries and Rural Development (MARD). The UNDP (via the Country Office and the BPPS/UNDP-GEF team) provided oversight support. Working in close cooperation with MARD, the Directorate of Decentralization, the UNDP Country Office (CO) were responsible for: (i) providing financial backstopping and audit services to the project; (ii) recruitment and contracting of the Technical International Team and the procurement of Finance & Admin Officers; (iii) overseeing financial expenditures against project budgets approved by the Project Steering Committee (PSC); (iv) appointment of independent financial auditors; (v) recruitment and contracting external evaluators; (vi) ensuring that all activities, including procurement and financial services, are carried out in strict compliance with UNDP and GEF policies and procedures, as well as national rules and regulations; and (v) procurement of all equipment described in the project.

Figure 2 illustrates the project organization structure including Project Board, Project Support Team and National Project Director.

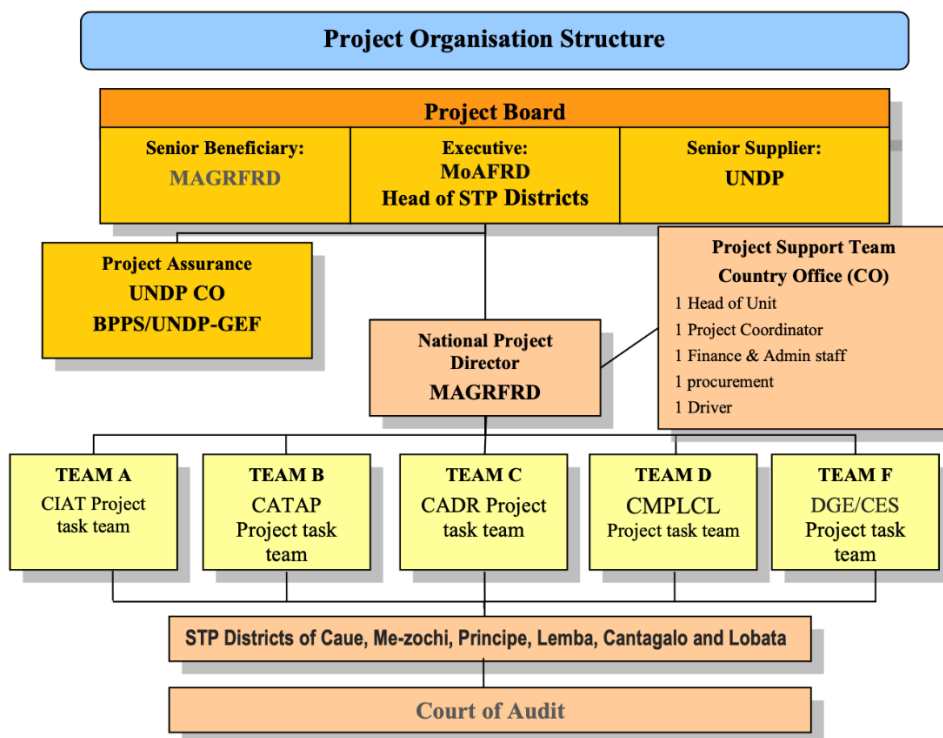


Figure 2. Management arrangement for the project

**The National Project Director (NPD)** carried out the daily administration and implementation of the project, while the **National Project Coordinator (NPC)** had the primary responsibility to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

**The Project Board (PB)** was responsible for making management decisions for the project in particular when guidance is required by the NPC. The Project Board played a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies.

#### 4.1.4 Lessons from other relevant projects

The project builds upon a number of relevant projects, which have provided lessons learned in relation to **(i) participatory approach with farmers; (ii) increase awareness of climate change among farmers; (iii) climate change adaptation measures**. Of particular importance are the following projects on which this project has built upon:

- IFAD project “Participatory Support Programme for Family Agriculture and Artisanal Fishing in São Tomé and Príncipe”.
- GEF - LDCF project "Adaptation to Climate Change in São Tomé and Príncipe " with a focus on coastal areas in vulnerable communities.
- GEF – LDCF project "Strengthening early warning systems and climate information in São Tomé and Príncipe for the development of resistance and adaptation to climate change".

#### 4.1.5 Planned stakeholder participation

The project design involved relevant stakeholders, and consultation meetings were conducted at national, subnational levels, and at project implementation sites. The project has been presented and discussed with the identified key stakeholders (Table 3) and consultations at site level sought to assess the vulnerability of the local communities and their adaptation needs.

#### 4.1.6 Linkages between the project and other interventions within the sector

The following projects on climate change adaptation are currently under way in the country. They have been listed in the Project Document as projects with complementary objectives and an intention to find synergies. Table 5 presents a list of the projects and implementing agencies.

Table 5. List of complementary projects implemented in São Tomé and Príncipe

Project title	USD Amount	Implementation agency	Geographic scope
Projeto de Adaptação às Alterações Climáticas para as Zonas Costeiras (PAMCZC)	4,100,000	World Bank Directorate-General for Environment - DGA	National coastal shoreline
Promoção de rede resistente ao clima e ambientalmente sustentável/ rede isolada de electricidade hidroeléctrica e através de uma perspectiva integrada energia- solo e floresta em São Tome e Príncipe	5,274,000	UNDP/ Central Bank/ EMAE/ DGRNE/ DA/DF/District Municipalities	National
Sistema de Alerta Precoce In São Tomé e Príncipe	4,000,000	UNDP National Institute for Meteorology	-
Projecto de Redução da Vulnerabilidade Climática em São Tomé e Príncipe – AMCC	3,000,000	European Union Directorate-General for Environment - DGA	Lembá and Mé-Zóchi

#### 4.1.7 Replication approach

The project anticipated a replication approach based on using pilots to establishing climate change platforms in the most vulnerable districts and communities (CC-DAVIP) in the six CMPLCL districts, which in turn will generate tools and methods that can be addressed in other parts of the country and within a fully functional national framework.

#### 4.1.8 UNDP comparative advantage

UNDP's comparative advantage in implementing this project is underpinned by its Country Programme Document for the current cycle (2012-2016). Specifically Outcome 1.2 is focused on improving access of

vulnerable populations, notably youth and women, to productive resources and decentralized basic social services. Outcome 1.3 focuses on the adoption by the São Tomé and Príncipe central and district governments as well as the general population of techniques and behaviors that are more favorable to a sustainable environment and are conducive to better management of risks and natural disasters, including those that are induced by climate change factors.

In addition, the proposed capacity development programme indicated under Component 1 of the LDCF project will benefit from UNDP São Tomé and Príncipe's experience and overarching and strategic role in this area, helping to ensure that related outcomes are sustainable in the long-term. Institutional capacity building and reform is one of UNDP São Tomé and Príncipe's flagship programming areas. UNDP has already conducted several programmes for assessment of capacity building needs and formulation of related action plans, including the implementation of the UN Framework Conventions on Biodiversity and Climate Change, respectively, as well as for environment and natural resources management.

The development of national capacities for the successful implementation of priority areas of the strategy for agricultural and rural development has also been supported. It is worth noting that since 2007, UNDP has been helping to finance the advancement of decentralization in São Tomé and Príncipe through the strengthening of the capacity of Districts and the Autonomous region of Príncipe as well as the elaboration of the development plan of the district of Caué and of the autonomous region of Príncipe. This project is providing a starting point for the proposed capacity building of district governments and assembly members under the Component 1 of the LDCF project.

UNDP has a rich history of experience with community livelihood strengthening programmes through its poverty reduction and MDGs programmes. Under these programmes, UNDP São Tomé and Príncipe has been supporting the Government of São Tomé and Príncipe in areas like: a) strategic planning, including the design of planning tools and strengthening of national capacity in term of monitoring and evaluation of national and district development policies and strategies; b) production and analysis of decision making support information; c) coordination of development support from other development partners; d) trade integration and strengthening the business environment. This experience will support the implementation of Component 2 of the LDCF project that aims to strengthen the resilience of rural livelihoods from the likely impacts of climate change.

## **4.2 Project Implementation**

### **4.2.1 Adaptive management**

The project was CEO endorsed in July 2014, and the inception workshop took place in June 2015 (one year later). As stated in the MTR, the project faced two major difficulties in the first period: (1) political unrest in the country and (2) major delay in the inception phase due to the inability to recruit a qualified project team. The Project Management Unit (PMU) prepared annual work plans (AWP), based on which the activities are related to the project components and outcomes.

Adaptive management means that the PMU must constantly keep referring to the goal and objectives and critically assess how the activities are contributing to the outputs and how those outputs are leading to the

objective. Although the project started one year later than the planned date and experienced delays due to the need to hire a new project manager, international consultants, and a national team, the adaptive management techniques used by the PMU allowed for adjustments and catching up with the project's work plan. The adaptive management measures taken by the PMU include:

- Host the project management at the Ministry of Agriculture premises, to ensure the project ownership and facilitated coordination with other stakeholders (e.g. CADR)
- Mobilise more than the planned expertise (national and international) to support the project implementation. A team of national and international experts was established to ensure proper implementation of the project activities and delivery of the expected outputs.
- Establish a UNDP working group to support the project implementation.

#### **4.2.2 Actual stakeholder participation**

The project design involved relevant stakeholders and consultation meetings were conducted at national and subnational levels and at project implementation sites. Decision processes have used a strong participatory approach. As a result of consultations with communities and a review of project documents, it can be concluded that the project demonstrated a satisfactory level of engagement level with local communities throughout the planning, inception and implementation stage.

However, the project has demonstrated weaknesses in the process of selection of beneficiaries and their further engagement. The project did not demonstrate an appropriate robust process with pre-agreed criteria for identifying the beneficiaries in each site. The selection of beneficiaries was unclear to the communities as well as to the project team. In some cases (e.g. project sites with pigsty infrastructure), a requirement for becoming a beneficiary was a monthly financial contribution for the cooperative or association. Although, it is a good practice to engage community members and encourage ownership, it has potentially excluded the most vulnerable members with limited financial resources and thus in certain cases led to conflicts among the community members. The contributions could have been requested at a later stage of the project, once the interventions demonstrated results and benefited the members, so they could have the savings to invest.

In some villages, the project created expectations among non-selected beneficiaries that they would be engaged in the second stage of the project, however this has not happened by the end of the project, which has built an atmosphere of mistrust. This issue was more visible in the communities of Paga Fogo, Abade, Ponta do Sol and Azeitona. These communities did not benefit from any intervention but still expect to benefit from the project.

#### **4.2.3 Partnership arrangements**

The Project has been successful in arranging partnerships with the main stakeholders (i.e. MARD, CADR, CATAP and CIAT) involved in project implementation. The roles of CADR and CIAT were clearly defined and followed during the project implementation. CADR was doing all rural extension work and training to farmers. CIAT was doing the study of plagues and diseases related to climate change, supported training related to control diseases. Later, once the greenhouses were established and functional, CIAT started to carry out frequent site visits to identify the problems related to the plant development and provided technical guidance to the farmers and extension workers.

The project was hosted at the MARD, and this helped to create synergies with other projects and initiatives led by the Ministry. In addition, according to the Project Document, the project was expected to collaborate and be co-funded by other agriculture and adaptation projects implemented in São Tomé (see Table 6). Successful complementarity in implementing activities and co-funding were established with three projects: (1) PRIASA II for the implementation of the irrigation systems in Santa Luzia and two other projects not identified in the Project Document: (2) the Suiniculture Project implemented by MARD and (3) the project “Promotion of environmentally sustainable and climate-resilient grid/isolated grid-based hydroelectric electricity through an integrated approach in São Tomé and Príncipe” (PIMS 4602) implemented by UNDP.

Beside these successful partnership arrangements, overall, stakeholders interviewed reported that there were limited coordination efforts with other donors such as the FAO and the EU, as well with the Directorate General for the Environment. The MTR specifically recommended a greater involvement of the Directorate General for the Environment in the project, but this has not been realised by the end of the project. The Directorate General for the Environment has experience with the implementation of adaptation projects in São Tomé and Príncipe. The project built on the knowledge and experience of the main technicians from the DE since they were the trainers of the capacity building on climate change implemented by the project. A stronger involvement of DE in the project would have been beneficial in particular for the overall implementation strategy and steering of the project towards a stronger adaptation focus.

Civil society organisations (CSOs) and non-governmental organisations (NGOs) are key actors for enhancing awareness raising and reaching out to communities. The project has demonstrated limited collaborative actions in building the needed partnership with CSOs and NGOs, as defined in the Project Document.

#### 4.2.4 Project Finance and Co-Finance

The overall GEF budget for this project was USD 4,000,000. The breakdown of its allocation per component/outcome and planned co-financing is depicted in Table 6. Table 7 additionally indicates the planned co-financing.

Table 6. Planned budget per project component and matching co-financing

Outcome	GEF (USD)	Co-fin (USD)
<b>Outcome 1:</b> The capacity of the CATAP, CIAT, DGE, district governments and assemblies, district councils, CSOs and CBOs strengthened to support the enhancement of climate resilience of rural community livelihoods.	1,175,900	7,576,281
<b>Outcome 2:</b> Vulnerability of rural livelihoods reduced through climate risk management supportive infrastructures and practices.	1,275,800	4,000,000
<b>Outcome 3:</b> Adaptation strategies are designed and transferred to strengthen communities’ climate resilience in the 30 most vulnerable villages of the 6 districts of CMLPLCL of São Tome and Príncipe.	1,358,300	4,000,000
Project Management	190,000	350,000
<b>Total</b>	<b>4,000,000</b>	<b>15,926,281</b>

Table 7. Planned co-financing by source

Source of co-financing	Planned amount (USD)
UNDP	350.000
Ministry of Public Works, Infrastructure, Natural Resources and Environment (MoPWINRE)	4,000,000
Ministry of Agriculture, Fisheries and Rural Development (MARD)	3,576,281
Ministry of Agriculture, Fisheries and Rural Development (MARD)	8,000,000
<b>Total</b>	<b>15,926,281</b>

At the financial level, the project presents a high level of execution, having advanced in 2018 significantly in the execution of component 2, focused on community actions (see Figure 3). According to the PIR (2019), the project executed 95,86% of the budget (see Figure 4).

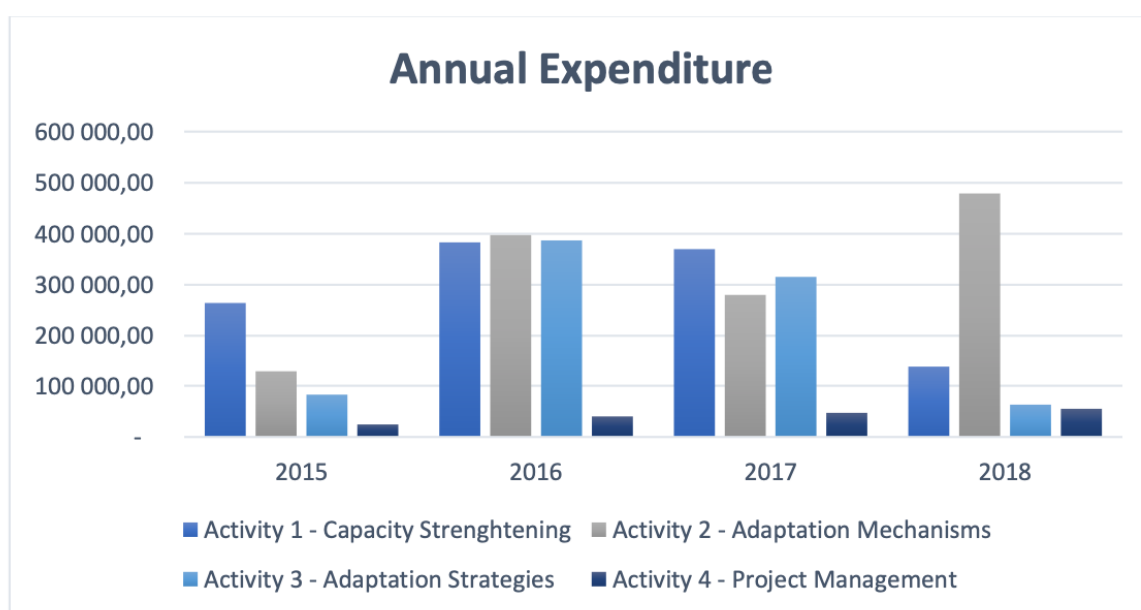
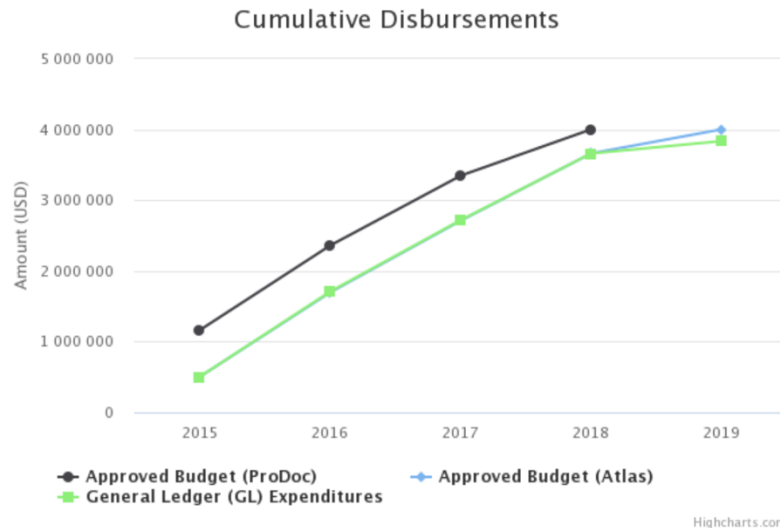


Figure 3. Annual project expenditure until 2018. Source: MTR, 2018.





Cumulative GL delivery against total approved amount (in prodoc):	95.86%
Cumulative GL delivery against expected delivery as of this year:	95.86%
Cumulative disbursement as of 30 June (note: amount to be updated in late August):	3,834,478

Figure 4. Project cumulative disbursements as of 2019. Source: PIR, 2019.

The project intended to work in parallel with a number of relevant projects (see Table 6 above), however this was not fully realized. However, this did not affect the project implementation and performance due to the adaptive management approach of the project. UNDP Country Office was able to leverage a significant amount of project co-financing through PRIASA project. The Government of São Tomé and Príncipe formally co-finances the current project through PRIASA Project funds worth USD 8,000,000. Especially at the end of the project, UNDP CO mobilized needed additional resources to finalize the agricultural terrace in Roca Ribeira Funda.

It is important to highlight, that at the Government’s request (documented in an official letter) the project built the irrigation system in Sta Lucia, which absorbed 10% of the project budget. This costly activity had an impact on the resources available for the implementation of activities in other communities.

Strong financial controls have been at place and the financial flow has been smooth. Additionally, there was due diligence in the management of the funds.

## 4.2.5 Monitoring and evaluation

### 4.2.5.1 M&E design

The project document included a description of the budgeted Monitoring and Evaluation (M&E) plan with identified responsible parties for each M&E activity, allocated indicative budget, and specified time frame. According to the plan, the M&E is aligned with established UNDP and GEF procedures. The Monitoring Framework and Evaluation was well-articulated. The total indicative M&E budget was USD 140,000 or 5% of the total GEF grant, that was enough to conduct the planned M&E activities

The UNDP/GEF standard M&E tools were included in the project document, including the logframe with the needed indicators, the inception report, the MTR and terminal evaluation, and the quarterly and annual progress report and board meetings.

Based on the abovementioned, the achievement of the **M&E design is rated as Moderately Satisfactory (MS)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
		MS			

#### 4.2.5.2 M&E implementation

The project has been well tracked and the UNDP project assurance role has been correctly applied to this project. Below are the kind findings regarding the implementation of M&E:

:

- There have been several monitoring and review exercises conducted by the UNDP Country Office, including participation in the project board meetings and preparation of the project annual reports.
- The UNDP Country Office has been active in reviewing and following up on the project’s quarterly progress reports, financial reports, and project work plans.
- The UNDP’s provision of financial resources has been in accordance with project norms and in a timeframe that was supportive in covering the costs of project activities.
- The environmental and social risks have been monitored in accordance with UNDP Social and Environmental screening procedures.
- The Project’s staff and consultants were contracted according to the established Rules and Regulations of the United Nations and the financial transactions and procurement activities similarly followed due process and the same Rules and Regulations.
- The project’s M&E activities were conducted in accordance with established UNDP and GEF procedures. The GEF OFP was duly informed on the advancements of the project, taking part in meetings and steering committee sessions.
- The monitoring activities have been highly inclusive and participatory with engagement of key national and local stakeholders in the consultations and validation workshops for the M&E activities. Stakeholders have been encouraged to actively take part in data collection and providing feedback to evaluation outcomes.

However, there were some shortcomings in the monitoring of the project cycle, and these have resulted in missed opportunities to refine the project Logical Framework:

- The project had a monitoring system focused in activities rather than results / changes / objectives;
- Lessons learned from the previous years were not systematically documented to inform upcoming activities;
- The MTR was conducted at a later stage than required and therefore, only few of the recommendations could effectively inform any changes in the implementation of the project;

- At planning stage, the project did not consider a separate budget for the M&E, which might have had implication with regards to available resources for these activities.
- The project has not used the GCF Adaptation Monitoring and Assessment Tool (AMAT).

It should be taken into consideration that self-evaluation ratings for the PIR for 2019 are slightly inconsistent with the findings from the Terminal Evaluation, especially with regards to the level of project impacts. Lessons learned and recommendations have been provided in Terminal Evaluation report.

Based on the abovementioned, the achievement of the **M&E implementation is rated as Moderately Satisfactory (MS)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
		MS			

#### 4.2.5.3 M&E: Overall assessment

Given that it was a new project on climate change adaptation for UNDP Sao Tome and Principe and the limited awareness on climate change and adaptation for the project partners, the M&E processes was kept more flexible.

Based on the abovementioned, the achievement of the **Overall assessment of the M&E is rated as Moderately Satisfactory (MS)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
		MS			

#### 4.2.6 UNDP and implementing partner implementation/execution coordination and operational issues

##### Quality of UNDP Implementation/Oversight

The key aspects of the role of UNDP in the project implementation were as follows:

- UNDP followed up on the Project and continuously examined if it was being implemented with an appropriate focus on established targets.
- UNDP Country Office support to the PMU was satisfactory according to the stakeholders interviewed and, in many cases, timely:
  - It helped to facilitate the recruitment and engagement of several international consultants.
  - UNDP Country Office offered full support to project implementation, including administrative and financial support.

However, some stakeholders reported that the lengthy financial processes of UNDP contributed to some delay in project activities.

Overall, the Project demonstrated a satisfactory performance from a management perspective according to the UNDP and the GEF guidelines. UNDP team, including the PMU, applied the necessary procedures to ensure that the project implementation was effective. A key remaining aspect that UNDP Country Office needs to do is to update the GEF Adaptation Tool with the achieved results from the project.

Based on the abovementioned, the Quality of UNDP implementation **is rated as Satisfactory (S)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
	S				

### Quality of Implementing Partner Execution

The project was implemented by the MARD. The institution played a very active role in the project implementation from the early stages and supported all planned activities, not only by developing the annual work plans and supervising their implementation, but also by ensuring an effective coordination with the other relevant agencies, CIAT, CADR and CATAP.

The Project Manager and the project assistant were responsible for the daily management and actual implementation and monitoring of the project and were accountable to the UNDP Portfolio Team Leader. The MARD was part of the project board and actively cooperated with UNDP and the project’s partners to resolve any issues hindering the project’s implementation. The Ministry effectively implemented the project’s activities, providing management oversight, mobilising the needed high-level support, and demonstrating significant commitment and ownership.

The Project is the first of its kind implemented by MARD and has induced a transformational process to integrate climate change aspects in the agricultural sector at different levels, decision makers, technicians, and extensionists. It would have been beneficial to the project if MARD had appointed a focal point on climate change and agriculture in the Ministry to advise and guide processes. The topic of climate adaptation in the agriculture sector is a new topic for the planning and technical specialists, extension services and the educational curricula. According to interviews, the two-week capacity building on climate change and agriculture, provided by the General Directorate for the Environment, was not sufficient to effectively mainstream climate change in agriculture and strengthen the institutional capacity. The evaluation team considers that MARD requires further strengthening of its capacities on climate change to effectively steer the vision of agricultural adaptation in the country.

Based on the abovementioned, the Quality of Implementing Partner Execution **is rated as Satisfactory (S)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
	S				

### Overall quality of Implementation/Execution

Despite challenges faced at the start of the project, the project was completed in time. The additional extension of the project was necessitated due to few additional activities to be conducted. Timely completion is an achievement. The collaboration between UNDP and the Ministry of Agriculture has been effective and led to the successful implementation of project activities and collaboration with other project partners. There are lessons learned on several operational issues such as more attention to monitoring and evaluation, documentation, and sharing aspects of the project. Overall the quality of the implementation / execution of the project is satisfactory.

Based on the abovementioned, the overall Quality of the Implementation/Execution of the project **is rated as Satisfactory (S).**

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
	S				

### 4.2.7 Risk management

The project has adequately addressed the majority of identified risks relevant to the project performance and implementation. In particular the project addressed very effectively the risks related to institutional capacity and stakeholder coordination. One of the remaining risks that affected the performance of the project and was not adequately mitigated is the lack of interest of Microfinance Institutions (MFIs) to develop innovative products that respond to the adaptation needs of the farmers.

## 4.3 Project results

### 4.3.1 Progress towards objective and expected outcomes

The achievement of the overall project objective is conditional on the achievement of the project's three outcomes. The matrix in Table 8 presents an overview of the end of project status of outcomes and the rating per outcome.

Table 8. Matrix for rating the Achievement of Outcomes

Indicator	Baseline	End of project target	MTR evaluation	End of the project status	Rating	Notes
<b>Objective: To strengthen the resilience of rural communities' livelihood options against the impacts of climate change in the districts of São Tomé de Caué, Mé-Zóchi, Príncipe, Lembá, Cantagalo, and Lobata (CMPLCL).</b>						
Percentage change in local community vulnerability to climate risks through perception-based research (VRA).	The PIF and local level assessments at demonstration sites during PPG consultation process indicates high vulnerability of the selected sites.	In the medium term, 25% increase of the VRA score; at the end of the project, 50% of the VRA score.	The VRA diagnosis was not performed at any point in the project, so it is not possible to assess its progression in each of the beneficiary communities.	Unable to assess.  The study VRA was conducted in November 2019.  An initial assessment of the community vulnerability and their perception was not conducted and therefore, improvement cannot be measured.	<b>Moderately satisfactory</b>	
<b>Outcome 1: The capacity of CATAP, CIAT, governments and district assemblies, district councils, CSOs and CBOs is strengthened to support increased climate resilience of rural communities' livelihoods.</b>						
1.1 Capacity perception index in CATAP, CIAT, CSE, CSOs, CBOs and district councils.	VRA to be undertaken at the project onset.	1.1 By year 4 of the project, Target $\geq 3$	An initial institutional diagnosis was not made and it is not possible to measure the indicator.	Unable to assess.  The institutional assessment was not conducted by the end of the project and therefore no capacity	<b>Moderately satisfactory</b>	The project has reached training targets and according to local communities, extensive services and technicians from the Ministry of

				perception index was developed		Agriculture have improved their capacities to address climate change issues, however the lack of a measurable baseline constrains the effective evaluation of this outcome.
1.2 Number of Agricultural Extension staff trained (including on-the-job training scheme) on adaptation strategies to support village climate change platforms.	The Ministry of Agriculture, Fisheries and Rural Development (MAPDR) has only two Agricultural Extension staff in each of the six CADRs. Extension delegations with lack of knowledge on climate change and agriculture.	1.2 By the end of the project, at least 60 Agricultural Extension staff have been trained (including on-the-job training scheme) on adaptation strategies to support village climate change platforms.	Project reports the training of 70 technicians from the Ministry of Agriculture and 300 members of the climate change platforms (training in adaptation and technical training in pesticide use and control, greenhouse production, etc.)	The training was concluded and benefited the target stakeholders.		
<b>Outcome 2: The vulnerability of rural livelihoods is reduced through infrastructure and mechanisms to support climate risks.</b>						
2.1 Number of small-scale rainfall harvesting, number of water storage structures and/or small sale irrigation networks established at community level.	No rainfall harvesting or sizeable water storage structures and/or irrigation networks at community level in the selected pilot sites.	2.1 By the end of the project, at least one rainfall harvesting, and/or one sizeable water storage structure and/or one irrigation network has been established at community level in the selected pilot sites, particularly in drought prone areas.	Two traditional irrigation systems and one well system were developed in Rio Lima. These systems derived from the rehabilitation of already existing systems that were not in operation.  In Rio Lima, it is considered that the system cannot be a hybrid, since it is a system of small individual reservoirs that seeks to complement the previously existing	Three irrigation systems with differing characteristics were built in Santa Luzia, Rio Lima, Bom Sucesso and Saudade.  In the community of Nova Estrela, Príncipe Island, the greenhouse farmers built a rain harvest pond with 100 m3 storage capacity.  Nine rainwater collection and storage structures for the greenhouses were built.	<b>Moderately satisfactory</b>	Irrigation systems have provided high impacts for farmers. However, innovative strategies for the use of rainwater were developed only at a limited scale for the greenhouses, which does not comply with the indicator specifying that they have to be at community level. Likewise, erosion strategies were not developed in a robust way. There were interventions for

			deposit that has not been reinforced.			vegetation plantation without a clear strategy for erosion control. Moreover, the pilot terrace was implemented in the last project year, therefore there is little evidence of its benefits.
2.2 Number of ha that has benefited from any form of erosion control, as well as dykes and bunds to protect fields against flooding.	No erosion control measures in the selected vulnerable locations.	2.2 By the end of the project, at least 30% of the identified eroded areas has benefited from any form of erosion control, as well as dykes and bunds to protect fields against flooding.	Terracing is foreseen in Ribeira Funda as an instrument to combat erosion, as well as erosion control activities in 30% of the beneficiary communities.	Reforestation with 714 plants in the 5 communities (Yô Grande, Ponta Baleia, Praia Pesqueira, Malanza and Soledade).  Terracing was demonstrated in Ribeira Funda, with one pilot terrace.		The evaluation of Indicator 2.2 is not possible, as there is no baseline to indicate the level of erosion, nor studies after the interventions to provide evidence of the results.
<b>Result 3: Adaptation strategies are designed and transferred to strengthen climate resilience of communities in the 30 most vulnerable villages of the six districts of CMPLCL of São Tomé and Príncipe.</b>						
3.1 Number of climate adaptation measures successfully implemented by the community members as a result of Project assistance.	There is no Government or private assistance scheme operating in the selected vulnerable villages supporting the implementation of adaptation measures by the community members. There has been no adaptation measure successfully implemented by the community members.	3.1 By the end of the project, at least two climate adaptation measures have been implemented by the community members as a result of project assistance.	In general, the project sought to support the 32 selected communities with small grants, which made it difficult to contribute consistently to the project goal. No annual plans have been developed to identify the actions to be developed. High risk associated with the payment of supports. Structuring actions such as irrigation systems that benefit a larger number of farmers emerged as a response more suited to an adaptive logic.	The project's micro-credit component was cancelled due to the high risk of repayments, absence of beneficiary guarantors, and the non-existence of a reliable financial institution available to implement the microcredit mechanism.  However, the project implemented other interventions, such as greenhouses solar freezers, pigsties and poultry.	<b>Moderately unsatisfactory</b>	The implemented interventions (e.g. pigsties, poultry, solar freezers) were defined following a rationale of agricultural support and food security, without a clear and solid rationale of addressing the identified climate risks (e.g. floods, droughts, landslides). Yet, these interventions have been demonstrated to generate additional income for the communities, thus believed to be contributing to community's resilience.
3.2 Number of IAMS included in the annual and	Currently, no annual and multiyear adaptation plans or	3.2 By the end of the project, at least 50% of IAMS included in the	Creation of climate change platforms and climate change	Climate change committees exist as part of the district		



<p>multiyear adaptation plans (CC- VAAP) that were successfully demonstrated and scaled up at community level.</p>	<p>policies that explicitly integrate climate change adaptation measures.</p>	<p>annual and multiyear adaptation plans (CC-VAAP) have been successfully demonstrated and scaled up at community level in vulnerable villages.</p>	<p>committees in each of the intervention communities and districts did not take place. Multi-year adaptation plans were not developed.</p>	<p>platforms. Adaptation plans are not developed.</p>		
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While the evaluation team was not able to conduct a fair assessment of performance on the objective indicator, due to the lack of such indicator, it can be said that the wide range of stakeholders consulted during the evaluation (some 20 individuals in addition to 12 community meetings) were knowledgeable about the project, climate change risks, resilience and potential adaptation options - all attained or ameliorated through activities of the project. Especially technical staff who was trained through the project. Interviews clearly highlight that the designed project was seen to be of critical importance to generating climate change adaptation know-how in São Tomé and Príncipe and to spark innovative interventions and approaches to deal with climate change risks in the agricultural sector.

The Project interventions have resulted in a transformation process at national and local level and have improved the condition of many households. The analyses demonstrate that some outcomes have been achieved (Outcome 1), others, partially achieved (Outcome 2) and others to a lesser extent (Outcome 3). It is observed that, overall, the project shows limited focus on achieving adaptation objectives and there is a dominant focus on agricultural and community development topics, which can be assumed that contributed to increase the communities' resilience.

Based on the abovementioned, the achievement of the **Objective is rated as Moderately Satisfactory (MS)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
		MS			

**Outcome 1. The capacity of the CATAP, CIAT, district governments and assemblies, district councils, CSOs and CBOs strengthened to support the enhancement of climate resilience of rural community livelihoods.**

The project capacity building has reached a substantial number of decision makers, technicians, extensionists and farmers, thus becoming a pioneer project in raising the awareness of the public on climate change and agriculture. The project organised a series of trainings on climate change and the design and implementation of adaptation measures at community level. Additionally, visits were organised and conducted among farmers and technicians. The majority of stakeholders interviewed reported their satisfaction with the quality of the training received and stated that it would have been beneficial to have a prolonged training, especially on climate change adaptation and specific technologies as water and soil management. It should be considered however, that the MARD requires additional capacity development to be able to guide the establishment of policies, strategies and implementation of activities related to adaptations to climate change in the agriculture sector.

Table 9 presents the major results achieved in the process of capacity building and the topics addressed.

Table 9. Achieved results with regards to capacity building

Target	Results
1.2 At the end of the project, at least 60 extension workers will be trained in adaptation strategies to support community climate change platforms.	300 people trained in climate change adaptation.
	137 people (82 farmers and 55 technicians), of whom 55% were women, trained in production in protected environments.
	327 people (296 farmers and 31 technicians), of whom 35% were women, trained in the safe and efficient use of pesticides.
	296 people (254 farmers and 42 technicians), of whom 45% were women, trained in biological pest control (fruit fly).
	167 people (85 breeders and 82 farmers) trained in greenhouse and pigsty cooperative management.
	167 people (84 breeders, including 24 women) trained in animal husbandry.
	167 people (84 breeders, including 24 women) trained in sanitary hygiene.
	70 extensionists trained in organic compound production.
	15 farmers trained in erosive techniques (terraces for agriculture).
	Training on collective infrastructure management, associativism and cooperativism has been carried out.

The project's technical partners have largely strengthened their institutional and technical capacities. They have become more knowledgeable on climate change issues and are now better able to support the process of building resilience in rural communities in terms of greenhouse production (production in a protected environment, biological solutions to fruit flies, production of organic compounds, efficient use of pesticides), animal management and hygiene, and in supporting infrastructure management.

However, the results from interviews, focus groups and surveys show that the institutional capacities created are far from meeting the aims set out in the Project Document, both in terms of the capacity to develop intervention mechanisms for adaptation, for example adapted seeds, and in terms of technological innovation, e.g. rainwater harvesting and erosion control.

CIAT has results proposed for CIAT were hardly achieved, so the effectiveness and impact of its activities were almost nil, although all the objectives that were proposed to the institution are relevant, in relation to the purposes of the PA.

Prior to the project, CATAP had no expertise in the field of climate change and adaptation, which was a challenge for the implementation of the training interventions. Now, CATAP has elaborated a training curriculum to support further training activities on climate change and adaptation. It should however be considered that according to the Project Document, CATAP was expected to become a centre of excellence in climate change adaptation training in the country and the region. This target has not been achieved and at present, there is no specialist on climate change in the Centre.

CADR staff has benefited from diverse training in climate change, plant disease control and greenhouse operation, enabling them to provide a major input to horticulturists. All of the respondents in the survey have considerably increased their knowledge on climate change and adaptation. 70% (10 participants) consider that they need more training to be able to implement adaptation measures on the ground.

Nevertheless, it should be considered that CADR's performance has remained and will be conditioned by the limited achievements of CIAT and CATAP.

## **Outcome 2. Vulnerability of rural livelihoods reduced through climate risk-supportive infrastructure and mechanisms**

Component 2 focused on the implementation of climate adaptation interventions at the local level to address identified climate risks. Project interventions were implemented in the majority of villages (30 villages) in six districts. The results under this component aimed at strengthening the resilience of communities through adaptation measures enhancing water security and erosion control for agricultural production.

The lack of diagnosis about climate change perception in the communities led the project to an agricultural sector development and food security rationale instead of promoting climate resilient agricultural practices. This aspect has conditioned the climate adaptation focus of the project from its initiation and thus influenced its final impacts with regards to reducing the vulnerability of farmers. Despite the analysis carried out in the baseline analysis about climate change, there was no robust methodology for the identification of the communities' adaptation needs. The baseline analysis was performed before the climate change trainings, both for the communities and for the project team and extension services. It is therefore the lack of guidance on adaptation in this stage that resulted in a list of proposed activities with little relevance to addressing specific climate risks.

The budget limitation to meet the priority needs, such as irrigation water, and the expectation to benefit 30 identified communities in the Project Document led to small community supports, such as solar freezers or poultry farming support, and it is deemed that these micro-supports are not an appropriate adaptation strategy given the minor number of beneficiaries and the difficulty to assess how they contribute directly to the increase of resilience of the farmers. **Follows a brief analysis of the diagnoses carried out so far in each community:**

### **Caué District**

This district has been impacted by climate change through sea level rise, sea water intrusion in locations such as Malanza, Praia Pesqueira, Praia de Yô Grande, and reduced fisheries in these coastal areas. The diagnosis confirms this impact, and Project Document identifies as potential adaptation measures the population displacement (Malanza), the support to water access, new reservoirs and provision of seedlings, seeds and agricultural inputs. In the case of Ponta Baleia, the diagnosis detects land erosion. In this villages the project has chosen to construct a fish conservation unit in Malanza and to support the remaining coastal villages with solar freezers for fish conservation, managed by groups of 8 beneficiaries in each community. This example demonstrates small supports, which may have low influence to change the existent vulnerabilities. On the other hand, Soledade community shows excess rainfall, soils erosion and impoverishment. The suggested adaptation measures were related to the rehabilitation of reservoirs and support to agricultural seedlings and inputs, however, the project ended up to install a greenhouse for 8 beneficiaries in the community.

### **Cantagalo District**

In Cantagalo District can be observed contrasts among communities. While some communities have torrential rains (Colonia Açoriana), some are facing rainfall reduction (Uba Budo) The planned adaptation measures focus on water access, provision of seedling, construction of pigsties and infrastructure to protect vegetables. The diagnosis exposed the occurrence of torrential rains and humidity that limits cocoa production (Colónia Açoriana) and suggested the introduction of climate resilient crops. Given the limited financial capacity to cover the communities' priority needs, the project has chosen to build a communal pigsty and poultry for approximately 15 beneficiaries per community in most of the villages.

### **Mé-Zochi District**

In most of the selected communities, the identified problems were related with water scarcity for irrigation. In this District, the project deemed to meet this concern by intervening in the irrigation systems of the communities of Bom Sucesso and Rio Lima, and building greenhouses in the communities of Saudade, Bemposta and Bom Sucesso.

### **Lembá and Lobata Districts**

In the Districts of Lembá and Lobata, the identified problems were also related with water supply for irrigation. In Lobata, the most affected District by drought periods, the project rehabilitated Irrigation Systems in Santa Luzia, but could not meet similar intervention needs in the communities of Plancas I, Plancas II, Canavial and Fernão Dias. In the same District, the project supported the construction of 3 greenhouses. In the case of Lembá District, the project rehabilitated a rural track and provided solar freezers to the community of Paga Fogo to address the isolation of the village due to floods.

In **autonomous region of Principe**, there are no diagnosis data in Project Document. Nonetheless, the diagnosis carried out at the initial phase of the project identified lack of water supply for irrigation and lack of agricultural productivity (Santa Rita, Azeitona), landslides (Ponta do Sol), sea level rising (Abade) and deterioration of irrigation systems (Nova Estrela). So far, the project built 2 greenhouses in Nova Estrela and Santa Rita, 1 pigsty in a new selected community (Praia Campanha), and tarot production (Ponta do Sol) and solar coolers (Azeitona).

These examples demonstrate consistencies and inconsistencies in identifying problems and solutions in each community and display how difficult it is to meet central concerns such as irrigation systems strengthening, particularly due to wide geographical dispersal and budget limitations. Table 10 summarises the implemented intervention and their current status in the five districts and the island of Principe.

Table 10. Summary of climate risks and implemented interventions in project communities.

	Climate change risk	Implemented measures	Present situation
<b>Caué District</b>			
Vila Malanza	Drought, floods, saltwater intrusion	Fish Transformation Centre, Tree plantation	The infrastructure is built and equipped with two solar coolers, but it is not functioning, because the solar batteries are not suitable for the high energy requirements of the coolers. The Centre also needs to be equipped with fish processing equipment and utensils.
Ponta Baleia	Heavy rainfall, floods	2 solar coolers	The coolers are not working, because solar batteries are not suitable for the high energy demand of the coolers.
Praia Pesqueira	Floods, pests and diseases in the plantations	2 solar coolers	The coolers are not working.
Praia Lô Grande	Decrease in rainfall, pests and diseases in the plantations	Solar cooler	The coolers are not working.
Roça Soledade	Landslides, soil erosion	Greenhouse	In operation
<b>Cantagalo District</b>			
Colónia Açoriana	Excessive rainfall, road erosion, flooding, increased bacterial and fungal diseases	Pigsty	In operation
Mendes da Silva	Landslides, erosion, excess moisture, flooding in the backyard	Poultry	In operation
Monte Belo	Excessive rain and humidity, erosion, flooding, pests and diseases, reduced animal and plant production	Poultry	In operation
Quimpo	Erosion and collapse of the road, flooding	Poultry	In operation
Uba Budo	Reduced rainfall and prolonged drought, crop mortality, road erosion	Greenhouse and pigsty	In operation
<b>Mé-Zóchi District</b>			
Bom Sucesso	Prolonged drought during the dry season	Irrigation system Greenhouse	The irrigation system is not fully functioning in the dry season. The greenhouse is in operation
Roça Saudade	Prolonged drought during the dry season	Greenhouse	In operation
Roca Bemposta	Drought and erosion	Greenhouse	In operation
Roca Agua das Belas	Torrential rains, landslides	Pigsty	In operation, waiting for new piglets to arrive.
Roca Rio Lima	Drought	Irrigation system	Limited functioning
<b>Lobata District</b>			
Roça Santa Luzia	Decreased rainfall, soil erosion, decreased crop yields and forest areas, pests and diseases on plantations	Irrigation system	The irrigation system was rehabilitated. In operation.
Roça Fernão Dias	Flooding, landslides, soil erosion and impoverishment, pests and diseases on plantations.	Greenhouse Water silting	The greenhouse is in operation.
Roca Canavial	Drought, erosion, soil impoverishment, crop loss, flooding, pests and crop diseases.	Greenhouse	In operation
Plancas I and II	Decreased rainfall, soil impoverishment, decreased animal and plant production, reduced biodiversity, pests and diseases.	No intervention	

Lembá District			
Roça S. João	Strong winds, little rain, with consequences for the burning of cocoa, low quality of bananas.	Pigsty	In operation
Roça Lembá	Windstorms and floods that destroy the plantations.	Greenhouse	In operation
Roca Paga Fogo	Erosion effects on the road, a lot of rain affecting the pots and other products, soil impoverishment, pests and diseases on plantations.	Solar coolers Rural road	The coolers are not in operation. The road is constructed.
Roça Ribeira Funda	River flooding, soil impoverishment, crop pests, drought, soil erosion, increased sunshine	Training in agricultural terrace preparation	Training was conducted and one demonstration terrace built.
Principe Island			
Santa Rita	lack of water supply for irrigation and lack of agricultural productivity	Greenhouse	Not in operation
Praia Campanha	-	Pigsty	Not in operation
Azeitona	lack of water supply for irrigation and lack of agricultural productivity	Solar coolers	Not in operation
Ponta do Sol	Landslides	Plantation of tarot	Almost all plantation was lost.
Nova Estrela	Deterioration of irrigation systems	Greenhouse	In operation

The rehabilitation of the **irrigation systems** is aligned with the project objectives and has a strong impact on farmers' livelihoods provided that there is a mechanism to ensure the sustainability of the systems and an appropriate management model. One of the key achievements of the project was the construction of three irrigation systems benefitting 142 farmers from Santa Luzia, 73 farmers from Rio Lima and 320 farmers from Bom Sucesso and Saudade. The access to water for agriculture in these communities has provided valuable benefits and increased the resilience of the farmers during prolonged droughts.

Another important project intervention was the **greenhouses** for the production of vegetables in areas with excess rainfall to generate additional income. It is a relevant measure both for the agriculture sector and to an extent for climate adaptation. However, it should be noted that the project's focus lay on the introduction and management of the greenhouses and disregarded the need for introducing climate resilient practices for the farmers' own subsistence agricultural systems. Innovative strategies for the use of rainwater, adapted to the country context, have been developed to an extent as part of the greenhouses. A key aspect of the greenhouses is the promotion of a cooperative models for management. While in some case, this model is working well (between 5 – 8 people form part of cooperatives), in other cases it works to a lesser extent. The greenhouse in Santa Rita (Principe Island) is currently shut down because it faced a number of technical problems and it is an example of the challenges related to cooperative models and collective management.

The construction of the **fish processing center** for the women fishmongers was a community led initiative as a result of an extensive community work by the Directorate of Fisheries. The construction was finished at a late stage and negotiations were established through the Directorate of Fisheries with an NGO working with fishing communities. The Directorate of Fisheries is now in charge of the infrastructure and will follow-up the equipment of the building and the training of the users by the NGO.

Regarding the **solar freezers**, government efforts are been made to analyse the problem with their operation and seek for a solution. The study that was carried out did not provide adequate data and the PV systems purchased were too weak to produce enough electricity to freeze the fish.

For the **erosion control** strategies, the project interventions focused on the planting of trees in five communities (Yô Grande, Ponta Baleia, Praia Pesqueira, Malanza, and Soledade) and an agricultural terrace. However, there is limited evidence of the effects of these plantations with regards to improved erosion control in the context of agricultural production. On the other hand the agricultural terrace was built in the end of the project timeframe and is also difficult to assess its impacts on soil erosion.

In addition, under this component, pigsties were built in some communities such as Água das Belas, Colónia Açoriana or Uba Budo, which are in operation and Praia Campanha that is not in operation. Although this intervention does not directly address any of the identified climate impacts in the communities, it is a source for additional income in moments when other activities such as extraction of palm wine is not possible during rainy season.

Overall under Outcome 2 a considerable amount of adaption learning could be generated – if the implementation process would be well documented, a learning culture had been more prominent in the project. This project significantly undercapitalizes on good learning opportunities and it is recommended that UNDP and MARD place some extra effort into processing the project results before starting on a new project. It is suggested that any new project with similar focus should allocate some additional funding to further synthesizing the lessons from this project for learning in a new project.

### **Outcome 3. Adaptation strategies are designed and transferred to strengthen communities' climate resilience in the 30 most vulnerable villages of the six districts of CMPLCL of São Tomé and Príncipe**

Component 3 focused on the adoption of climate change adaptation solutions by the community and in particular access to micro-credit at community level. At municipal level, it focused on participatory planning for the preparation of multi-year adaptation plans.

The project's micro-credit component was cancelled due to the high risk of repayments, absence of beneficiary guarantors, and the non-existence of a reliable financial institution available to implement the microcredit mechanism. Instead, based on communities' needs assessment, the project implemented other interventions such as solar freezers, pigsties and poultry. These activities were implemented to generate additional income for the farmers as an element of increasing their resilience. For example, the pigsty and poultry infrastructures have significantly contributed to the improvement of the economic state of the members of the cooperative. However, it should be considered that the cooperative management cycle depends on receiving imported animals and food for them through the MARD project on Suinicultura. The objective of the pigsty is that the cooperatives take care of the pigs until they are ready to be sold at the market and then receive a new group of animals. This makes the cooperative completely dependent on the MARD's project activities and with little capacity of the beneficiaries to be self-sufficient.

With regards to the activities relevant to the adaptation plans, it should be considered that the development of adaptation measures through annual plans elaborated by each municipality is not part of the established planning process in São Tomé and Príncipe. Therefore, it can become a very complex task for the project and the municipality given the low capacity of local administration. To date, the project has not undertaken participatory planning processes to create adaptation plans. Efforts have been made to collaborate and build upon the experience of the Mé-Zóchi district where the EU funded project AMCC prepared the adaptation



plan. However, due to a budgetary deficit and the unavailability of technical assistance, replication of this experience was not possible for the other beneficiary districts.

### 4.3.2 Relevance

All gathered evidence indicates that the project is relevant to the national objectives and addresses the main barriers related to climate impact faced by smallholder farmers. The majority of the stakeholders interviewed expressed the added value of the project to adopt innovative solutions to adaptation and emphasised the need for a next phase of the project. One of the main achievements of the Project was the introduction of climate change and innovative adaptation practices in the agriculture through a set of training sessions and materials that suited the local context in São Tomé and Príncipe. The project managed to provide not only specific technical advice and support in preparing practical manuals but also improved the national capacity and awareness regarding climate change impacts and adaptation strategies.

This project is well aligned with the following three pillars of the National Poverty Reduction Strategy (NPRS): (i) Reform of public institutions, capacity-building, and promotion of a good governance policy; (ii) Accelerated Redistributive Growth; and (iii) Creation of opportunities to increase and diversify the incomes of the poor. However, the project was unable to cover all adaptation measures identified by the NAPA. The project covered three measures: (i) rehabilitation of overhead irrigation; (ii) reinforcement and diversification of the agricultural and animal production; and (iii) Improvement of management of the country water resources.

The project is also highly relevant to UNDP activities in the country. It represents a contribution to the fulfilment of the UNDP Country Programme (CP) and aims at strengthening national capacity to develop and coordinate a multi-sectoral response to the impacts of climate change within São Tomé and Príncipe. Furthermore, the project is in line with Outcome 1 (output 1.4), Outcome 4 (output 4.5) and Outcome 5 (output 5.2) of the new UNDP Strategic Plan (2014-2017). These outcomes and outputs are the following: i) Outcome 1: "Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded" and its Output 1.4, "Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented;" ii) Outcome 4: "Faster progress is achieved in reducing gender inequality and promoting women's empowerment" and its Output 4.5, "Measures in place to increase women's access to environmental goods and services (including climate finance);" iii) Outcome 5: "Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change" and its Output 5.2, "Effective institutional, legislative and policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels."

The project's design and its outputs and outcomes contribute to Objective 2 of the GEF Focal Area Strategic Framework at global level - "Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level". In particular the project contributes to:

- Outcome 2.1 "Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areas"
- Outcome 2.2 "Strengthened adaptive capacity to reduce risks to climate-induced economic losses"

Based on the abovementioned, the **Project is rated as Relevant (R)**.

Relevant (R)	Not Relevant (NR)
R	

### 4.3.3 Effectiveness

Tangible progress has been achieved in mainstreaming climate change in agriculture and introducing innovative agricultural technologies (e.g. greenhouses). The project has fostered a transformation change in the agricultural sector by introducing climate change as a key aspect to be considered and promoted at national and local levels.

The project’s most remarkable and highly efficient intervention with regards to adaptation to climate change are the installed irrigation systems. They have benefited more than 500 farmers, providing water for agriculture during prolonged droughts.

The rehabilitation of the road in Paga Fogo has increased the accessibility of the community to other areas and the market during the rainy season.

Additionally, the project introduced new processes for adoption of innovative technologies (e.g. greenhouses), which are now being replicated by individual farmers and other agricultural projects. The greenhouses have demonstrated effectiveness in increased production of vegetables and income generation. The greenhouse in Rosa Soledad, in particular, not only directly benefits the cooperative, but also provides support to community needs for education, electricity and health.

The revegetation interventions and the terraces for control of erosion do not provide sufficient evidence of their contribution to reduce the soil erosion in agricultural areas. It is, therefore, not possible to determine how effective these measures were in achieving their objective.

For the rest of the interventions (e.g. pigsties, poultry, solar freezers, and road rehabilitation), it is important to distinguish between recognising the adaptation function of many development activities and simply trusting that such activities on their own will convey the right benefits for people and help them to be more resilient and thrive in a changing climate. Therefore, it is difficult to assess their level of effectiveness with regards to resilience building for the communities.

Based on the abovementioned, the **Effectiveness is rated as Moderately Unsatisfactory (MU)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
			MU		

### 4.3.4 Efficiency

Efficiency is the cost-effectiveness or “productivity” of the Project.

Some of the project interventions, such as the greenhouses, pigsties, and irrigation systems, have demonstrated their potential to generate additional income. Evidence was presented in Roça Fernão Dias, where the irrigation system was upgraded in collaboration with PRIASA project. Farmers claimed that the financial benefits from the increased agricultural production have enabled them to invest in modernised technologies and improved inputs and thus increase their production. Another piece of evidence from the greenhouse in Rosa Soledad shows that the cooperative generates enough revenue to financially support the community in its essential needs such as health, electricity or food.

Overall, the cost-effectiveness of some interventions has been estimated as part of the Business plans developed for the greenhouse and pigsty cooperatives. However, the lack of data and the fact that these business plans are not currently operational makes it difficult to estimate the cost-effectiveness of these structures. The data collected by the Evaluation team and in alignment with the results from the MTR, show that most of the greenhouses are producing less than their potential, even when generating significant revenue in the short term.

Based on the abovementioned, the **Efficiency is rated as Moderately Unsatisfactory (MU)**.

Highly Satisfactory (HS)	Satisfactory (S)	Moderately Satisfactory (MS)	Moderately Unsatisfactory (MU)	Unsatisfactory (U)	Highly Unsatisfactory (HU)
			MU		

#### 4.3.5 Sustainability

Overall sustainability

The project’s main approach to sustainability was to strengthen the institutional capacity on climate change and enhance institutional project ownership (see Project Document pages 65 - 66). Therefore, the sustainability of the project can be measured against the following criteria:

- Institutional commitment and ownership of the project**

The project has effectively raised high-level political commitment to implement the project. There is a high-level interest, satisfaction and commitment from the MARD about the project and its outcomes. MARD also reported that the generated knowledge and guidelines will be utilised in other locations, with different partners, and in other communities/provinces. This will contribute to the sustainability of the project’s outcomes beyond the project’s timeframe.
- Institutional capacity building**

The project has conducted an extensive range of capacity building for technical staff in MARD, extension services officials from CADR, and researchers from CIAT. Trainings covered a variety of topics, among which climate change adaptation and specific agricultural technologies. The trainings have been designed as Training of Trainers (ToT) to enhance the replication effect of the capacity building. However, the trainings specific to climate change and adaptation strategies were concentrated in the inception period of the project with a duration of two weeks.

The assessment of sustainability analysed the institutional, financial, socio-economic and environmental risks that are likely to affect the continuation of project outcomes.

Based on the abovementioned analysis, **the Overall Likelihood of the Project’s Sustainability is rated as Moderately Likely (ML).**

	Likely (L)	Moderately Likely (ML)	Moderately Unlikely (MU)	Unlikely (U)
<b>Overall likelihood for sustainability</b>		<b>ML</b>		

### Socio-economic risks

While the sustainability of the project results at the national level has been well justified in the Project Document, the sustainability aspects of the interventions at the local level have not been discussed. The Project has promoted a cooperative model as a strategy for sustainability of project interventions, which was especially relevant for the installed greenhouses and pigsties.

The project has supported the formation of 17 community-based organisations (cooperatives or farmers’ associations), some of which have been registered at the Notary Public with support from Cooperative Department, while others are in the process of doing so. These associations differ in terms of financial and organisational strengths and are sustained by their members through monthly quotas and have. Some have opened bank accounts. However, as confirmed by several stakeholders, the country has an history of failed cooperative experiences. This context gives rise to coordination challenges and challenges in building the necessary trust among members. These are potential risks after the end of the project.

Based on the abovementioned analysis, **the socio-economic risks of the Project’s Sustainability is rated as Moderately Likely (ML).**

	Likely (L)	Moderately Likely (ML)	Moderately Unlikely (MU)	Unlikely (U)
<b>Overall likelihood for sustainability</b>		<b>ML</b>		

### Financial risks

There is only one financial risk related to mobilising the resources needed to ensure the implementation and use of the training materials and the maintenance of the project interventions (e.g. greenhouses, pigsties, terraces). Although the project has established Business Plans for the cooperatives, there is no strong evidence that they are being implemented or for how they have performed in the first year of the interventions.

Based on the abovementioned analysis, **the Financial Risks of the Project's Sustainability is rated as Moderately Likely (ML).**

	Likely (L)	Moderately Likely (ML)	Moderately Unlikely (MU)	Unlikely (U)
<b>Overall likelihood for sustainability</b>		<b>ML</b>		

### **Institutional framework and governance risks**

The legal framework, policies and governance structure under the current government is supportive of climate change adaptation initiatives and have the potential to ensure a continuation of the project benefits. While the government of Sao Tome and Principe has implemented policy and procedures regarding technology knowledge transfer, it is still a challenge. With the introduction of innovative technology in the country, the project has created a discourse and UNDP worked closely with MARD to establish institutional procedures and improve governance arrangements.

The project achieved to improve the initially low institutional capacity and planning to address climate change and low awareness and understanding of climate change risks and impact by multiple training sessions and hands-on experience. The project has been pivotal for enhancing the institutional capacity especially for MARD and CADR, who continue mainstreaming climate adaptation in their new projects. The capacity building approach was based on the selection of champions within the institutions but also from the communities where the project was implemented. The champions were selected on the basis of their willingness to participate and leadership skills and were trained as Trainer of Trainers on climate change adaptation.

The stakeholders have achieved a clear pathway for the continuation of the project results after the project's closure. The government stakeholders (MARD and CADR) will continue to support the beneficiaries in the technical and governance aspects of pigsty and greenhouses and explore opportunities to be mainstreamed in future planning. Results from both activities (greenhouses and pigsty) have demonstrated to be profitable and beneficial to the communities, therefore have high potential to be replicated and upscaled.

In the implementation of the project, the implementing and partner institutions have been conducive to systematically address gender equality and human rights concerns by ensuring equitable access to benefits and inclusive participation in decision making processes.

Based on the abovementioned analysis, **the institutional framework and governance risks of the Project's Sustainability is rated as Likely (L).**

	Likely (L)	Moderately Likely (ML)	Moderately Unlikely (MU)	Unlikely (U)
<b>Overall likelihood for sustainability</b>	<b>L</b>			

### Environmental risks to sustainability

There is a high likelihood of an increase in magnitude and frequency of extreme events in São Tomé and Príncipe and in particular in the project areas in the next decade. Increased floods, landslides and strong winds might make the sustainability of the project benefits less likely in the long term. However, the increased household income generated by the project activities has undoubtedly increased adaptive capacity and the trainings have, at least partially, increased awareness levels. The selected sites for the project interventions, e.g. the greenhouses, are located in areas with low exposure to climate risks and therefore the impacts, if any, will be marginal.

Based on the abovementioned analysis, **the environmental risks of the Project's Sustainability is rated as Moderately Likely (ML).**

	Likely (L)	Moderately Likely (ML)	Moderately Unlikely (MU)	Unlikely (U)
<b>Overall likelihood for sustainability</b>		<b>ML</b>		

### 4.3.6 Country ownership

The project was formulated addressing key UNDP priorities such as climate resilience building and poverty reduction, as well as various SDGs. Gender was explicitly addressed, and it is clear that especially the local level interventions mainstreamed gender considerations in their approaches. Women were the focus of specific livelihood interventions. Some gender specific and disaggregated data has been collected and can be used for reporting.

From a national level perspective, mainstreaming climate change risk information into agriculture and integrating it into decision making at national, sub-national and local level decision-making was a key aim of the project. In bringing a broad range of partners into the project, some of this clearly will have been achieved. However, there is little direct measure of mainstreaming success evidenced. Municipal climate change adaptation plans were not developed, however at an institutional level a transformative process took place towards more resilient agriculture. This seems to indicate that mainstreaming is taking place.

All interviewed stakeholders were quite positive that the project was influencing decision making at national and local levels and to a lesser extent at the district level.

The country ownership is strong, as demonstrated by the strong interest and participation of government stakeholders. The project was considered strategic as it mainstreamed climate change adaptation in the agricultural sector in São Tomé and Príncipe. It contributed tremendously to strengthening institutional capacity development activities at the national and provinces level to ensure that climate adaptation is on the top of the agenda for agriculture planning.

#### 4.3.7 Gender equality and women's empowerment

Gender equality and women's empowerment were highly integrated in the project design and implementation. Both male and female were equally targeted by the project from its inception to the closure. The project interventions enhanced the technical and financial empowerment of women by supporting the development of women's associations and cooperatives as well as by ensuring a gender balanced participation in trainings on agricultural adaptation technologies, on business management, and on identification and assessment of climate risks and vulnerability. This has allowed women to better participate in decision making processes within districts and villages' platforms, district governments' assemblies and community management committees. Such strengthened participation has ensured that the gender-based vulnerabilities and appropriate solutions are integrated in the project interventions and have increased their effectiveness.

The project made significant difference to particularly men and women by introducing alternative sources for income, thus generating long term-opportunities for improved livelihoods and equitable access to resources. A particular highlight is that the project has enabled youth women to financially afford attending higher education e.g. Universities.

Therefore, it can be concluded that the project's gender dimension was particularly successful, because the project encouraged participation of women and also encouraged work with women groups on specific production systems, e.g. fish processing.

#### 4.3.8 Catalytic Role / Replication Effect

The project has demonstrated important national and local level catalytic effects as the applied approaches are supporting institutional changes and stakeholder behaviour promoting climate resilience in the agricultural sector. The project has been the starting point of a growing process of capacity and institutional strengthening in Sao Tome and Principe. In terms of sub-national catalytic impacts, however, continued effort will be needed to engage with Municipalities.

The replication potential is good due to the innovative character of the introduced climate adaptation technologies. The project anticipated a replication approach based on using pilots to establishing climate change platforms in the most vulnerable districts and communities in the six project districts, which in turn will generate tools and methods that can be addressed in other parts of the country and within a fully functional national framework. However, this approach was not fully undertaken by the project, which limited the project to achieve its replication potential.

Nevertheless, one of the key factors adopted by the project was to ensure that the project's management structure was based on government ownership and be aligned to the existing institutional arrangements. This strategy has provided the opportunity for a number of the project outputs such as the greenhouses, to potentially be replicated to other locations via other projects implemented by MARD. Greenhouses can easily be replicated at the community level and possibly expanded to private enterprises.

The project results in particular the agricultural adaptation technologies e.g. greenhouses and terracing (Outcome 2) can be further used as demonstration plots for other projects as future strategy for replication.

Such initiatives should be as well re- considered for mainstreaming within the community development planning process and consulted upon for possible inclusion within district-level or province-level investment plans.

The replication potential of the trainings on climate change and climate resilient agricultural practices (Outcome 1) is high. The training manuals and methodology approach used are important products that were developed under the project. The training modules prepared by CATAP provide opportunities to be further disseminated via wider training initiatives in the country.

### 4.3.9 Mainstreaming

#### 4.3.9.1 Mainstreaming of climate change in policy and strategies

The project contributes to mainstreaming UNDP priorities, including poverty alleviation, improved governance and improved natural resource management. The project resulted in a number of positive effects on the local populations by providing opportunities for income generation from improved agricultural production (e.g. introduction of greenhouses and irrigation systems) and diversifying income generating activities (e.g. pigsty). Additionally, the project's outcomes have contributed for the increased capacity of the local population to be better prepared and cope with natural disasters as prolonged drought using adaptive agricultural practices and improved irrigation.

The projects objectives confirm to agreed priorities in the UNDP country programme document (CPD) and country program action plan (CPAP). Specifically, the project contributed to CPD Outcome 1.2 , which focuses on improving access of vulnerable populations, notably youth and women, to productive resources and decentralized basic social services. The project also contributed to CPD Outcome 1.3 focuses on the adoption by the São Tomé and Príncipe central and district governments as well as the general population of techniques and behaviors that are more favorable to a sustainable environment and are conducive to better management of risks and natural disasters, including those that are induced by climate change factors.

#### 4.3.9.2 Sustainable development Impacts-towards achieving relevant UN SDGs

The project achieved a high degree of transfer of technologies and skill and farmers have observed positive changes in their livelihoods. This was very evident in all 13 communities where focus group discussions with the farmers and farmer associations (both men and women-led). They all indicated positive livelihood changes following the implementation of the project interventions. The empowerment of the farmers was gender sensitive. The project results contributed to achievement of the following UN Sustainable Development Goals (SDGs) in Sao Tome and Principe:

##### **SDG 1: No poverty** (*end poverty in all its forms everywhere*)

The project resulted in the improvement of livelihoods conditions via the introduction of alternative income generating activities such as pigsty, poultry and vegetable production in greenhouses. This intervention contributed to poverty alleviation in the communities.



**SDG 2: Zero hunger** (*End hunger, achieve food security and improved nutrition and promote sustainable agriculture*)

The project contributed to enhancing the food security and nutrition of the beneficiaries and the project communities as a whole by the introduction of climate resilient innovative technologies such as greenhouses. Additionally, the improved irrigation systems enhanced the agricultural production of the farmers. These interventions resulted in the improved supply of agricultural products at affordable prices for the community.

**SDG 5: Gender equality** (*Achieve gender equality and empower all women and girls*)

The project strengthened women's leadership by inclusive approaches for project planning and implementation and resulted in the organization of women groups responsible for the management of economic assets such as the processing of fish.

**SDG 13: Climate action** (*Take urgent action to combat climate change and its impacts*)

The project contributed to building resilient livelihoods towards climate change by improving capacities at local, municipal and national level to plan for climate change adaptation in the agriculture. Introduced agricultural practices and technologies reduce the risk from floods and droughts to the agricultural production.

#### **4.3.10 Impact**

The project's impact is evaluated by assessing the effects on increasing the capacity of national institutions for adaptation planning in the agricultural sector and decreasing the vulnerability of local communities to climate change.

The project has achieved a strengthening of institutional capacity on agriculture and climate adaptation in the country, which is a transformational change and an enabling factor for the initiation of new adaptation projects. Some technical knowledge has been generated via trainings of key stakeholders at the local and sub-national level. While the overall impact of capacity building cannot be assessed adequately due to the lack of baseline and the index for capacity perception, the stakeholder consultations, focus group and survey suggest that important awareness raising and education was facilitated by the project, which benefited a wide range of actors.

Additionally, the project has achieved tangible contributions to the introduction and implementation of innovative technologies, e.g. greenhouses, as well as improved irrigation systems, which has resulted in increased cash flow for the project beneficiaries. This is evidence that the project has achieved improvement of beneficiaries' conditions. This has contributed to increasing the adaptive capacity of human populations, particularly vulnerable ones, by providing them with technology for improved production.

A key aspect to consider when evaluating the impact of the project was to assess the number of beneficiaries from the interventions. Out of the 30 communities, which benefitted from the project's interventions, only six interventions (fish processing center - Vila Malanza, water silting - Roça Fernão Dias, training on terracing construction - Roça Ribeira Funda, and rural road - Roça Paga-Fogo and irrigation systems – Bom Sucesso,

Rio Lima and S. Luzia) could be deemed as benefiting the larger community. The rest of the interventions had benefited small groups (5-10 people), thus creating conflicts within the communities.

Additionally, it is important to distinguish between recognising the adaptation function of many development activities and simply trusting that adaptations such as pigsties, poultry, solar freezers and road rehabilitation on their own will convey the right benefits for people to increase their resilience to changing climate.

Based on the abovementioned analysis, **the Project is rated as Minimal (M) to achieve/contribute to the expected impact.**

	Significant (S)	Minimal (M)	Negligible (N)
<b>Impact of the project</b>		<b>M</b>	

## 5. Conclusions, recommendations and lessons learned

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### 5.1 Conclusions

The project has been visionary in capturing the need for climate adaptation in the agricultural sector in São Tomé and Príncipe through a collective national and local effort. The project has made important contributions to strengthen adaptive capacity at national and local level and has been able to develop a promising agricultural transformation towards climate resilience.

***Conclusion 1: The project's design and objectives were overly ambitious for the country's context, nevertheless the project achieved considerable results in increasing the vulnerability of the communities***

Overall, the project's design and objectives seemed to be very ambitious in the country context of São Tomé and Príncipe. The country is one of the least developed countries and faces challenges in terms of governance and implementation capacities at all levels – governmental and non-governmental, policy coordination, implementation and enforcement, and research. The project was the first of its kind in São Tomé and Príncipe. It was also the first adaptation-related project implemented by the MARD in collaboration with CIAT, CATAP and CADR. The project achieved substantial results in terms of mainstreaming climate change adaptation in the agriculture sector, increasing institutional capacity within MARD, CIAT, CATAP and CADR, and raising the awareness of local communities. However, the PMU encountered major challenges in the management of the complex structure of the project and the complexity of addressing climate change impacts and adaptive capacity. Therefore, the adaptation focus of the project was weakened and most of the activities ended up with a community development focus. This aspect has limited the achievement of the project's overall objective.

***Conclusion 2: The project adopted strong gender-sensitive and participatory approach at planning and implementation stages, which ensured effectiveness of interventions and ownership***

The project demonstrated strong participatory approach towards all relevant stakeholders at national and community level. Community members (both women and men) were engaged in the baseline analysis and decision making for the selection of adaptation measures in each village. This resulted in community-led initiatives, which were then implemented with the strong participation of the communities, thus ensuring effectiveness and ownership in the long-term. Women and men were equality represented in decision-making processes and the access to project benefits such as trainings, adoption of agricultural technology, participation in producers' organisations. Several interventions such as food processing centers and solar dryers were designed to benefit women and increase in their incomes. Although these interventions are currently in process of redesign, women were socially organized to support each other and are giving greater role to women as they can generate additional income.

***Conclusion 3: The weak adaptation focus limited the achievement of the project's objective to increase the resilience of farmers***

The project achieved considerable advances in the introduction of innovative agricultural technologies e.g. greenhouses and pigsties, which resulted in increased production and cash flow for farmers. This contributed to the improvement of some aspects of resilience, however, did not directly address the identified climate hazards and impacts such as droughts and floods. The rationale behind the selection of some of the implemented interventions, e.g. pigsties and solar coolers, has weak adaptation justification and fails to demonstrate the adoption of the approach to Integrated Adaptation Measures.

***Conclusion 4: Inadequate time for testing the innovative technologies has incurred high costs and generated challenges for implementation***

The project focused on the promotion of greenhouses as a solution to avoid agricultural production reduction due to drought and plant diseases. Greenhouses are an innovative technology for São Tomé and Príncipe. Construction materials and expertise were missing at the moment of the project implementation. The limited time to test this solution and the limited expertise from CIAT has compromised the research and learning process to adapt the technology to the local needs. This has led to multiple challenges in the implementation and management of the technology. The innovative technology also incurred high costs for the import of materials rather than sourcing them from local alternatives.

***Conclusion 5: Limited collaboration with local governance, NGOs and CSOs may have resulted in missed opportunities***

The project actively cooperated with relevant stakeholders such as CADR, CATAP and CIAT, which form part of the MARD. However, there was limited cooperation with local governments, NGOs and CSOs. Given the key role of local governments and NGOs for planning and technical assistance at local level, the absence of collaboration with the project may result in challenges for the sustainability of the project's results and in lost opportunities for replication of project results.

***Conclusion 6: The weak emphasis on knowledge management limited the project's potential to demonstrate evidence of effective adaptation***

This project piloted a great diversity of interventions. On all levels, but specifically with regards to the adaptation options on the community level, there were some very interesting demonstrations of innovative practices. However, due to the limited knowledge management aspects of the project, no systematic documentation of the investments, processes and performance of the demonstrations is available. The project team should have focussed far more on tracking the performance of the pilot interventions and their effects on reducing the vulnerability of the farmers. There is limited evidence of the effectiveness of the introduced measures with regard to their adaptation potential.

## **5.2 Corrective actions for the design, implementation, monitoring and evaluation of the project**

### **For the Project Design**

**Corrective Action 1:** Theory of Change for the project needs to be discussed with stakeholders and designed during the project design phase.

**Corrective Action 2:** A lot of emphases should be put on the Project Results Framework. Results Framework and Tracking Tool, before finalization of ProDocs, should be reviewed by a qualified M&E adviser in UNDP to fully align it with the concepts of the Results-Based-Management approach and truly representing the work intended to be done by the project.

**Corrective Action 3:** Approach to knowledge generation and sharing of lessons learned needs to be better integrated in the project design to serve as the basis for replication and scaling up strategies.

**Corrective Action 4:** The prioritization process and criteria for selection of project sites needs to be based on scientifically and methodologically sound processes.

#### **For Project Implementation**

**Corrective Action 5:** Mid-term evaluation process requires to be conducted in the middle stage of the project implementation in order to provide recommendations which can then help improve the project performance.

**Corrective Action 6:** Consultations with local communities regarding their adaptation needs should be conducted after capacity building on climate change, in order for the outcomes of the consultations to be better focused towards climate resilience. The work with women's groups requires continuous consultation and support when the project interventions are innovative to evaluate functionality.

#### **For the Monitoring and Evaluation**

**Correction Action 7:** An exit strategy that is discussed and agreed upon is very important to be developed during the project's implementation in order to ensure sustainability of the project outcomes.

### **5.3 Actions to follow up or reinforce initial benefits from the project**

The following recommendation aim to ensure that a clear set of actions is considered to follow up or reinforce the initial benefits of the project:

#### **Recommendation 1: Institutionalise capacity building on climate resilient agricultural practices**

Climate change and resilient agricultural practices continue to be a rather new topic for the MARD and other actors in São Tomé and Príncipe. Designing complex and ambitious projects will require the inclusion of additional expert support. All project partners need to understand the whole intent of the project to ensure that it can be managed for maximum results. In particular, effective capacity building is a long-term learning goal which requires regular in-depth trainings to gradually build the capacity in the institution. It is recommended to have a focal point on climate change and agriculture, especially in MARD, to coordinate relevant climate adaptation activities and planning strategies and ensure the sustainability of the project results. Additionally, CIAT and CATAP could benefit from more technical assistance from foreign research counterparts, which would strengthen their capacities and options to support CADR, other institutions and producers in terms of advice, training, dissemination of new technologies and agricultural diversification.

### **Recommendation 2: Strengthen the climate adaptation rationale in the project**

Adaptation measures have to be designed to directly address climate risks and provide co-benefits for development/economic assets. Vulnerability and risk assessments are key tools to inform adaptation needs and are required to strengthen the adaptation rationale of project activities. Additionally, locally adapted solutions have the highest potential to address specific local adaptation needs. The agricultural system in SÃO TOMÉ AND PRÍNCIPE is dependent on healthy and functioning ecosystems. Therefore, promoting an ecosystem approach for climate resilient agriculture is essential, e.g. combining terracing with agroforestry to decrease soil erosion while enhancing soil moisture. Such integrated adaptation measures have a high potential to generate adaptation as well as development benefits.

### **Recommendation 3: Introduction and scaling-up of innovative adaptation technologies must be fully planned from the project design stages and properly resourced**

The introduction of innovative technologies such as greenhouses requires testing and research through pilot sites. It is also worth considering the key role of CIAT in supporting the research and knowledge aspects of innovative adaptation technologies and providing locally adapted solutions and even traditional alternatives. Developing innovative local solutions for agricultural innovations can create new local markets and involve the private sector in adaptation initiatives, thus supporting the sustainability of the project results.

### **Recommendation 4: Enhance sustainability by deepening relationships with local authorities**

Collaboration between local technical government departments and community members ensures that project activities are more likely to be sustained over time. Engaging closely with a range of sub-national government departments in developing and implementing project activities would help those departments to more effectively meet their responsibility to provide services to communities. A closer engagement would also help build their capacity to provide ongoing support to local adaptation actions in a collaborative and holistic manner and reduce overlap and duplication of efforts.

### **Recommendation 5: Enhance local data collection and knowledge management on best practices**

To design and implement effective adaptation initiatives it is key to learn and build on experience and best practices, local data and information. There is a need to introduce a more rigorous knowledge generation and effective management process to inform solid investments rather than short-term solutions. This can be remedied by improving data monitoring and processing systems for the project, adopting suitable methodologies and process, and applying practical methods and tools to conduct gender-sensitive risk and vulnerability assessments, analyse transformation institutional processes, test innovations and document lessons learned. Engagement with the farmers (both men and women) with regards to data collection is key for generating localised data and information.

## 5.4 Proposals for future directions underlining main objectives

The project has laid the foundations for subsequent actions for resilience building in the agricultural sector and contributed to creating a window of opportunity for new investments based on the lessons learned and experience. Proposals for future directions include:

- Strengthening research and development for agro-ecological practices to address climate impacts.
- Building resilient value chains for selected crops of high importance to livelihoods and national economy.
- Exploring financial instruments and engagement with the private sector for climate resilient agricultural development.
- An excellent opportunity to mainstream climate change adaptation in agriculture within the country is for MARD to be proactively involved in the revision and implementation of the National Determined Contributions (NDC) in the country.

## 5.5 Best and worst practices in addressing issues relating to relevance, performance and success

**Participation of multiple stakeholders at all levels of governance (local, district and national) is vital for the success and sustainability of the project.** The project governing structures included relevant stakeholders at national and community level, but demonstrated limited engagement with the local government from the design and inception phase of the project. This had limiting effects on the achievement of project objectives, especially when local planning for adaptation is an envisioned project outcome. Additionally, developing partnerships with civil society organisations with technical capacity and accumulated experience could reinforce capacity building and communities' ownership of the adaptation interventions.

**South-South know-how and knowledge exchange will enhance capacities to design relevant adaptation measures.** Collaboration with partner institutions from Brazil and Cabo Verde can foster adaptation measures through the replicability of experiences and technologies that these countries have accumulated in their own development processes. South-South collaboration is based on the premise that developing countries are better positioned to mutually contribute to the solution of their development challenges, since they often have similar climate change challenges. Technologies and expertise in Brazil and Cabo Verde are therefore more likely to be tailored to similar geoclimatic conditions and scaled down to be appropriate to the realities of SÃO TOMÉ AND PRÍNCIPE than technologies and expertise from elsewhere.

**Innovative adaptation technologies require a pilot phase to be tested and adapted to local needs before being replicated.** New agricultural technologies require research and testing before implementation for the replication of an effective and appropriate technology. Key success factors for the introduction of innovations in agriculture include (i) a pilot site that permits active engagement of farmers; (ii) an innovation phase that has enough time to test, learn and adapt a best set of solutions; and (iii) financially affordable access to the technological innovation.

**Picking the right indicators is key to demonstrating project success.** Indicators for the project objective and outcomes need to take into consideration how to best demonstrate the impact of the project with regards increased institutional capacity. The following capacity-building indicators could be considered: (1) process and institutional indicators, such as tools developed, climate change adaptation plans completed, and manuals on best adaptation technologies written and (2) the Score Card method to measure the success of capacity-building measures. With regards to demonstrating results for the increase in resilience of farmers, the Vulnerability Perception Index is particularly relevant when applied as part of the baseline analysis.



## 6. Annexes

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Annex 1 - TE ToR (excluding ToR annexes)

Annex 2 - TE Mission itinerary

Annex 3 - List of persons interviewed

Annex 4 - List of documents reviewed

Annex 5 - Summary of field visits

Annex 6 - Evaluation Question Matrix

Annex 7 – Questionnaires

Annex 8 – Summary of MTR recommendations and project’s response

Annex 9 - TE Rating scales

Annex 10 – Signed Evaluation Consultant Agreement form

Annex 11 - Signed UNEG Code of Conduct form

## Annex 1 – Terms of Reference

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### INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

Date: [26/08/2019]

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**Country: São Tome and Principe**

**Place of assignment: São Tome and Principe**

**Field visits: ...15...days**

**Description of the assignment: Final Evaluation on Climate change Project**

**Project name:** Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata

**Period of assignment/services (if applicable): Middle of October to Middle of November (30 days)**

Proposal should be submitted by email to [rfp3\\_2019@undp.org](mailto:rfp3_2019@undp.org)

Any request for clarification must be sent in writing, or by standard electronic communication to the e-mail : [cesaltina.almeida@undp.org](mailto:cesaltina.almeida@undp.org) with cc/ [antonia.daio@undp.org](mailto:antonia.daio@undp.org); [claudio.vicente@undp.org](mailto:claudio.vicente@undp.org).

Procurement Unit will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

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#### 1. BACKGROUND

Sao Tomé and Principe (STP) is a small island country particularly vulnerable to climate-related hazards, which is showing significant signs of change, such as decrease and variation of the rainfall pattern, longer episodes of drought, coastal erosion and temperature raise. In the future, this climate change pattern could lead to the decreasing of productive zones and culture productivity, changes to the soil's organic matter, decrease of farmers' revenue and the risk of revenue-generating crops to become unfeasible due to the rainfall reduction. Despite the recurrent rainfalls, the country has been experiencing longer periods of drought, which constitutes a constraint to food production, predominantly in the north. In Sao Tome and Principe, agriculture, particularly the cocoa production, remains the main economic activity and the main source of revenue for rural households. It generates 70% of rural employment and about 80% of exports revenues, according to project's documents data. But despite its importance for the economy and communities, STP agriculture is characterized by a very low productivity mainly due to the lack

1

of good farming practices, the bad state of agricultural support infrastructures (irrigation schemes, rural markets, rural roads), the absence of efficient advisory support, and the failures of the agricultural inputs and product markets.

This agricultural framework has been progressively deteriorating due to the climate change effects. The climate vulnerability across country regions and the climate change adaptation needs and priorities are described and detailed in documents such as the Vulnerability Map and the National Adaptation Plan of Action on Climate Change. STP has completed and submitted its NAPA to the UNFCCC in December 2006. The NAPA has identified 22 urgent climate change adaptation priorities concerning the fisheries, infrastructure, health, water, agriculture/livestock/forestry and energy sectors and the project respond to these priorities. The most critical climate change phenomena in STP were also identified:

- Decrease in rainfall;
- Increase in the length of the dry season;
- Increases in temperature;
- Rise of the sea level;
- Floods and consequent contamination of water;
- Coastal erosion

The priority actions outlined were the following: i) construction of dikes; ii) construction of reservoirs of drinking water; iii) rehabilitation of overhead irrigation; iv) rational exploitation of forest resources; v) reinforcement and diversification of the agricultural and animal production; vi) relocation of some communities in risk or part of them; vii) Improvement of management of the country water resources.

## 2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

The evaluation must address the entire project from inception to completion and should embody a strong results-based orientation.

Based on a desk review of all documents produced by the project and other relevant knowledge products, interviews, focus groups, site visits and other research conducted, the Evaluator will produce an evaluation that will:

- Identify outputs produced by the project
- Elaborate on how outputs have or have not contributed to outcomes, and
- Identify results and transformation changes, if any, that have been produced by the project
- Give recommendations regarding changes to be made, if any

For detailed information, please refer to Annex 3 (ToRS)

I. Academic Qualifications:

Advanced degree, preferably in environmental sciences, agriculture, business management, climate change, public policy, rural development or other closely related field.

II. Years of experience:

- Minimum 5 years demonstrated professional experience fields related to Adaptation on climate change context.
- Experience in results-based project monitoring and evaluation methodologies, being GEF/UNDP project evaluation an asset.
- Experience working in Africa or in similar island contexts

III. Competencies:

Analytical skills, communications abilities, teamwork ...

Mandatory languages Requirements: English and Portuguese or Spanish

**4. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS.**

Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

1. Proposal:

- (i) Explaining why they are the most suitable for the work
- (ii) Provide a brief methodology on how they will approach and conduct the work
- (iii) fill annex 1 Offeror's Letter to UNDP attached

2. Financial proposal

3. Personal CV including past experience in similar projects and at least 3 references

**5. FINANCIAL PROPOSAL**

• **Lump sum contracts**

The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (i.e. whether payments fall in installments or upon completion of the entire contract). Payments are based upon output, i.e. upon delivery of the services specified in the TOR. In order to assist the requesting unit in the comparison of financial proposals, the financial proposal will include a breakdown of this lump sum amount (including travel, per diems, and number of anticipated working days).

**Travel:**

All envisaged travel costs must be included in the financial proposal. This includes all travel to join duty station/repatriation travel. In general, UNDP should not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources.

In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and Individual Consultant, prior to travel and will be reimbursed

3

## 6. EVALUATION

Individual consultants will be evaluated based on the following methodologies:

### Cumulative analysis

When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

- a) responsive/compliant/acceptable, and
- b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

\* Technical Criteria weight; 70%

\* Financial Criteria weight; 30%

Please note that the Office might choose desk review or/and interview to assess candidates. If interview the committee will draft questions that fall under evaluation criteria below. Only candidates obtaining a minimum of 49 point would be considered for the Financial Evaluation

Criteria	Weight	Max. Point
<u>Technical</u>	70%	70 points
<ul style="list-style-type: none"> <li>• Advanced degree, preferably in environmental sciences, agriculture, business management, climate change, public policy, rural development or other closely related field.</li> </ul>		10 points
<ul style="list-style-type: none"> <li>• Minimum 5 years demonstrated professional experience fields related to Adaptation on climate change context.</li> </ul>		25 points
<ul style="list-style-type: none"> <li>• Experience in results-based project monitoring and evaluation methodologies, being GEF/UNDP project evaluation an asset</li> </ul>		25 points
<ul style="list-style-type: none"> <li>• Experience working in Africa or in similar island contexts</li> </ul>		10 points
<u>Financial</u>	30%	30 points

## ANNEX

ANNEX 1-OFFEROR'S LETTER TO UNDP

ANNEX 2- BREAKDOWN OF COSTS SUPPORTING THE ALL-INCLUSIVE FINANCIAL PROPOSAL

ANNEX 3 - TERMS OF REFERENCES (TOR)

ANNEX 2- INDIVIDUAL CONSULTANT GENERAL TERMS AND CONDITIONS

## Annex 2 - TE Mission itinerary

Time	Activity
<b>4<sup>th</sup> December 2019</b>	
7:30	Visit to Malanza
10:30	Visit to Praia Pesqueira
11:30	Interview with Firmino Raposo, Presidente da Camâra Caue
14:00	Visit to Soledade
<b>5<sup>th</sup> December 2019</b>	
7:30	Visit to Colonêa Açoriana
10:30	Visit to Uba Budo
11:30	Interviews with UNDP
14:00	Interviews with CATAP representatives
<b>6<sup>th</sup> December 2019</b>	
7:30	Visit to Água das Belas
10:30	Visit to Bom Sucesso
11:30	Interview with Américo Ceita, Presidente da Camâra of Mé Zochi
14:00	Visit to Rio Lima
<b>7<sup>th</sup> December 2019</b>	
7:30	Visit to Santa Luzia
10:30	Visit to Fernão Dias
<b>9<sup>th</sup> December 2019</b>	
7:30	Visit to Roça S. João
10:30	Visit to Paga Fogo
11:30	Interview with Albertino Barros, Presidente da Camâra de Lemba
14:00	Visit to Ribeira Funda
<b>10<sup>th</sup> December 2019</b>	
9:00	Interview with MARD representative
11:00	Interview with CIAT representative
14:00	Interview with CARD representative
<b>11<sup>th</sup> December 2019</b>	
9:00	Interview with Directorate for Environment representative
11:00	Interviews with UNDP staff
18:00	Interview with UNDP staff
<b>13<sup>th</sup> December 2019</b>	
12:00	Feedback to UNDP

## Annex 3 - List of persons interviewed

<b>UNDP - Environment Unity</b>	
Maria Teresa Mendizabal	Coordinator - Environment Unity
Dinasalda Ceita	PMU
Joaquim Rodrigues	PMU
Cristina Veloso	Program Analyst
Cesaltina Seabra	Procurement Assistant
Ludmir Neto	Financial Assistant
<b>CIAT</b>	
Severino Neto	Director
Dinazalda Costa	Experta
Joaquim Baía	Experto
<b>Directorate for Environment</b>	
Eng.º. Lourenço Monteiro	Director-geral do Ambiente
<b>The Centre for Support of Rural Development of the Ministry of Planning and Development (CADR)</b>	
Marcelino Costa	Director
Joaquim Sacramento	Extensionista - <u>Praia Pesqueira</u>
Victor Vera Cruz	Extensionista - <u>Ribeira Funda</u>
Adilson da Silva	Extensionista
Paulo Jorge Costa	Extensionista
Anaximenes Nascimento	Extensionista
<b>Center for Agro Pastoral Development (CATAP)</b>	
Dr. Eskul	Director
<b>Agriculture Division (MARD)</b>	
Hermenegildo Santos	Project national director
<b>District Authorities</b>	
Américo Ceita	Presidente da Camâra - Mé Zochi
Firmino Raposo	Presidente da Camâra - Caue
Albertino Barros	Presidente da Camâra - Lemba
<b>Local communities</b>	
Mulheres da Cooperativa de Palaiês	Malanza
Mulheres da Cooperativa	Praia Pesqueira
Cooperativa de gestão da Estufa de produção hortícola	Soledade
Cooperativa de gestão da Pocilga	Colônia Açoriana
Cooperativa de gestão da Estufa de produção hortícola	Uba Budo
Associação de Fornecedores de Produtos Locais	Bom Sucesso
Associação de Horticultores	Rio Lima
Cooperativa de Horticultores	Santa Luzia
Cooperativa de estufa	Fernão Dias
Associação de horticultores	Ribeira Funda
Cooperativa de criação de porcos	Roça S. João (Lembá)
Associação de Moradores e Cooperativa de Mulheres	Roça Paga-Fogo

## Annex 4 – List of documents reviewed

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Relevant background documents reviewed include:

- UNDP Initiation Plan
- UNDP Project Document
- Project Inception Report
- Project Implementation Review 2018
- Project Implementation Review 2019
- Diagnósticos Rápidos realizados nos distritos de intervenção do projeto (2015)
- Relatório Auditoria Projecto 2018
- Relatórios do Comité de Pilotagem
- Plano de Trabalho Annual 2018
- Memorando de Entendimineto
- Manual de Implementação/Execução Nacional
- MTR Report
- Planos Anuais de Trabalho 2015, 2016, 2017
- Project Implementation Review 2017
- UNDP Country programme document for São Tomé and Príncipe (2017-2021)
- Diagnóstico de Potencialidades - CATAP
- Relatórios Anuais 2015, 2016 e 2017 Relatórios de Formação em Alterações Climáticas
- Relatórios trimestrais do projeto, incluindo todos os anexos.
- Relatório do levantamento cartográfico das ações e iniciativas desenvolvidas no quadro do projeto de Adaptação às alterações climáticas (2018)



## Annex 5 – Summary of field visits

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### Malanza

The Palaiês de Malanza Cooperative was formed in mid-2017 following a series of activities that were carried out by technicians from the General Direction of Fisheries and CADR in the District of Caué. The objective of the Directorate General of Fisheries was to identify actions that could contribute to mitigate the effects of climate change in the riverside communities of Caué from where, the idea of forming the Cooperative emerged and with it the construction of a fish processing centre that could reinforce the sustainability of fish sales and the income from it. Women have difficulties to sell the fish while it is still fresh, thus often resulting in loss. Selling in markets outside of Malanza, is time-consuming and incur transportation costs.

The Cooperative started with 57 members but has decreased to 40 members. In other words, the Cooperative is still in the process of formation and needs to be consolidated as an organisation and it will be determinant that the Transformation Centre works and gives results for this to happen.

During the visit some construction defects were noticed, namely, dripping on the ceiling of a room and on the outside wall and slow emptying of the water in the sink.

The 2 freezers purchased for the Centre do not work properly with the electrical energy of the solar panels and batteries were installed for this purpose, however they were insufficient. At present the solar freezers are not operational as well as the processing center.

In the meeting with the community members, it was highlighted that the community continues to experience challenges as a result from low fishing and decrease in agricultural production due to high temperatures.

The Association faces some problems, among which, it's not yet effective legal registration (which has been done for a long time without result), the withdrawal of some members who want the reimbursement of their contributions, because they are not convinced that the Centre will work. Also because of the slow operating process, the members have stopped paying the membership.

### Praia Pesqueira

The project has provided solar freezers for storing of fish. A cooperative of 40 women was formed initially, but only 12 members remain. At first the members paid their contributions, however at present there are no contributions to the cooperative.

The solar freezers have the same technical challenge as in Malanza and are not functioning.

The community considered that the project contributed with valuable training encouraged to work in association.

### President of the Caué District Camera, Mr. Firmino Raposo

The interview with Mr. Raposo highlighted the positive impact of the project, in particular the improved agricultural production through the greenhouse in Soledade, however he noted that other interventions have been less successful as the solar freezers in Praia Pesqueira and the Malanza Fish Processing Centre.

The District Chamber does not have tools for planning community adaptation to climate change, but it has designated a Focal Point for climate adaptation, which works in coordination with the District Delegate of the Ministry of Agriculture, Fisheries and Rural Development.

## Soledade

The project introduced greenhouse for the production of tomatoes and peppers.

Soledade was a community of 85 families that have been suffering the effects of climate change, namely strong winds that destroy houses and cut down trees. As a result, many of the former residents have left the community and gone to live somewhere. Now only 10 houses remain. In addition, the floods on the Rio lô Grande have made the land useless.

There was already a residents' association in the community before the project intervention, but with the coming of the project the cooperative another cooperative for the greenhouse was formed with 15 members, but at present only 8 members are left.

The establishment of the greenhouse helps to mitigate the effects of climate change, but the community members highlighted that there is also a need to plant wind-resistant trees to act as a barrier and to rehabilitate destroyed infrastructure.

The greenhouse has advantages because it gives income to the members, and also the cooperative support community members for the payments of the energy bills, makes small social reparations and donations to schools and hospitals in the District.

The Cooperative is supported by 2 extensionists from CADR who provide assistance that has been very helpful. This assistance and the commitment of the Cooperative members have resulted in the good functioning of the greenhouse. It is visited by members of other greenhouses.

The Cooperative foresees that even with the end of the project the greenhouse will gain autonomy, because the incomes allow it.

## Colônia Açoriana

The project constructed pigsty infrastructure and promoted pig farming.

The construction of 4 pigsties was envisaged, which would benefit a larger number of community members, however due to financial constraints the project could build only one pigsty. The choice of the current members of the cooperative is the result of their interest and participation in the materialization of the project, including the voluntary financial contribution to the cooperative.

The pigsty building was financed by the project in 2018 and suggested that the pigs be supplied by the Pig Farming Project implemented by MARD, which has been assisting the Cooperative since the breeding of the animals, sale and sharing of the income.

There has also been training in pig breeding, including basic animal health care. The pigs now in fattening period are already the second order made to the Pig Farming Project. The first order has already been sold, generating good income. Although other members of the Community are not beneficiaries, there are no conflicts, as they are expected to be beneficiaries in the future.

For the future, the Cooperative has other plans, such as to expand the pigsty, accept new members, diversify the production for dry banana processing and other crops. There is a dryer that has not worked, but can be rehabilitated. There is a fund deposited in the bank that can serve as a source of financing.

The pigsty itself will receive breeding stock at another stage of the Pig Farming Project support, with a view to becoming more autonomous. For this purpose, training actions are foreseen with the support of MADR.

## Uba Budo

The project constructed a greenhouse for the production of tomatoes and peppers. A cooperative was formed with 8 members in 2015. It started with 4 members who already had knowledge and practiced agriculture and horticulture. These recruited the other 4 remaining. Some members of the Cooperative have their own plot of land where they produce other things. The project, in addition to the installation of greenhouses, supported with the supply of seeds and organic manure.

Although extension workers do not attend as often as desired, they have provided support to the Cooperative and help to improve the production of the greenhouse. Irrigation costs are very high because of the expensive use of fuel. The Cooperative produces according to the needs of the market and the products that give more income.

Community conflicts were sensed as only few people benefit directly from the cooperative, but it is recognized that the cooperative's work is valuable as it sells better quality products at a lower price and it donates products to schools and day care centers.

### **Bom Successo**

Before the Project there was already an irrigation system that does not work properly. The Project planned initially to install an irrigation system, but it eventually became a simple system for supplying the parcels of land. In other words, it should include a water tank that would supply the plots in both the rainy and dry season. As it is now installed, apart from bringing conflicts between farmers as only few of them have access to the water for irrigation. Additionally, the intervention is contradictory because it does not work properly during the dry season when water for irrigation is most needed, as an effective water deposit infrastructure was not built due to the financial constraint of the project. The extensionist services are limited.

### **Rio Lima**

The project rehabilitated a water supply system for irrigation, consisting of 20 water storage wells, for the benefit of 40 horticulturists. The current system installed has many defects. For example, open wells for water storage are of little use, as they work with electric pumps whose energy is supplied through twisted cables that have been stolen, rendering it inoperative. On the other hand, these electric pumps are not strong enough. The irrigation system should be completed with a tank. When the electric pumps are working, the system can be considered to run at 50%. Sometimes there are conflicts between horticulturists because not everyone has benefited. The choice of beneficiaries was based on criteria of friendship and familiarity.

Interestingly, there has been an association with 32 members, including 5 women, and was formed long before the Project intervened. However, nowadays, none of the women members of the Association benefit from the irrigation system. The Project intervention brought more disunity to the Association.

### **Santa Luzia**

The project installed an irrigation system for horticultural land that benefits 125 people. Additionally, the project has trained the farmers on practices how to improve the land, make beds on slopes, use organic fertilizers that produce more, and solve the problems. The irrigation system installed has been irrigating the land at all times. The system is managed by a committee of 5 people, it is well organised and works. The committee was elected in the cooperative assembly. Before the project nothing was done to solve the problems caused by the effects of climate change. With the Project, farmers highlighted that their income has increased.

### **Fernão Dias**

The project installed greenhouse for cultivation of tomatoes and peppers. The Cooperative is formed by 8 people. The greenhouse was delivered to the Cooperative in 2017. Initially the Project made a diagnosis, with the participation of the population, where the following priorities were established: i) irrigation, ii) desanding of rainwater that caused flooding. The idea of setting up the greenhouse was the decision of the Project. The desanding was done in the framework of the Project, but it has not been tested yet because it was done recently and there were no floods yet have occurred, but it is thought that it will not mitigate the problem properly.

Before the Project, plantations were made less frequently and used chemicals to protect themselves. They still have their old plots, but they already use some techniques learned in these plots and with better results than before. The Cooperative keeps track of production and sales. The greenhouse's performance has been good and has allowed the purchase of a motorcycle. The income is divided between maintenance of the greenhouse, purchase of seed, social activities and remuneration of members.

### **Ribeira Funda**

The project's intervention was to teach farmers how to make a terrace for culture, in July and August 2019. The choice of this action was made by the Delegate of Agriculture in the District and was made in the field of one of the associates. The Association that already existed before the intervention of the project and has 35 members, of which 15 benefited from the training (4 women).

In Ribeira Palma there has been more crop pests and lack of production in the dry season due to lack of water and soil erosion. The project taught how to build the terraces (2019), desanded the river (2018), made organic compost (2019) and provided medicines. The decision for training in terrace construction was based on technical criteria. It is doubtful whether horticulturists would replicate the terraces on their own, although they have the knowledge to do so.

### **Roça S. João (Lembá)**

The intervention of the project was pigsty as a special request from the Minister of Agriculture, Fisheries and Rural Development to UNDP.

The Cooperative is formed by 8 members belonging to 2 families. The intervention started with a training action in which climate change, deforestation, associativism, leadership and animal care were discussed. It was detected that the effects of climate change in the area by strong winds, little rain, with consequences in the burning of cocoa, low quality of bananas, among others.

The idea of the pigsty that was built in 2016 arose to put an end to the raising of loose pigs. But there were difficulties of adaptation so, the project suggested the creation of pigs from the Pig Farming Project implemented by MARD and the current one is still the first delivery cycle.

The pigsty has had positive impacts for the life of the members, but not for other residents of the Plantation.

### **Roça Paga-Fogo**

The project had two interventions in this community: rehabilitation of the access road to Roça and the purchase of solar freezer for a cooperative of 11 women.

The effects of climate change in the area are felt by the much rain that affects the cocoa trees and other products as well as the road resulting in isolation of the community. Nothing could be done before the project intervention. There was no road and there were many transport difficulties, and products from agriculture and fishing could not be evacuated, situations of medical emergency.

The solar freezers delivered by the project in March 2019 do not work very well. It was the Community that chose the freezers that have been used for the preservation of domestic products and for sale. The road has been very useful because with the ease of movement, more products are sold and there is a higher yield. The Community has committed itself to road maintenance.

## Annex 6 – Evaluation Question Matrix

Evaluation criteria	Evaluation questions	Project team	UNDP team	Partner implementers	Government rep. and local authorities	Local communities	Indicators	Sources
<b>Relevance:</b> How does the project relate to the main objectives, outputs, outcomes, and to the needs, issues and challenges at the local, national, regional and international levels?								
Relevance of the project to UNDP mandate and policies, strategies and programmes. Relevance to GEF and partners' focal areas, strategic priorities and operational programmes?	<ul style="list-style-type: none"> <li>- How is the project relevant to UNDP mandate and aligned to its policies and strategies at the time of approval?</li> <li>- How is the project relevant to the objectives of GEF and partners?</li> <li>- Does the project support other international environmental and climate change conventions?</li> </ul>						Nature and extent of link between expressed needs by UNDP, GEF and partners and project objectives at country level.	Project documents UNDP Annual Strategy Plan National policies and strategies to implement the UNFCCC, other international conventions, or related to environment more generally
Relevance (alignment) of project to the Governments of SÃO TOMÉ AND PRÍNCIPE's environmental, sustainable development and	<ul style="list-style-type: none"> <li>- How does the project support the environmental, sustainable development and climate change objectives of SÃO TOMÉ AND PRÍNCIPE?</li> <li>- Is the project aligned with other donor or government projects and</li> </ul>						<ul style="list-style-type: none"> <li>- Degree to which the project supports national environmental/development/climate change objectives of SÃO TOMÉ AND PRÍNCIPE</li> <li>- Degree of coherence between the project and national priorities, policies and strategies</li> </ul>	Key informant interviews  Documentary review

climate change goals and objectives	<p>projects in the project areas and in which way?</p> <ul style="list-style-type: none"> <li>- Is the project country-driven?</li> <li>- What is the level of stakeholder ownership in implementation?</li> <li>- Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?</li> </ul>						<ul style="list-style-type: none"> <li>- Level of involvement of government officials and other partners in the project design process</li> </ul>	
Relevance of the project to the needs of relevant stakeholders	<ul style="list-style-type: none"> <li>- How does the project support the capacity building needs of relevant stakeholders?</li> <li>- How did the project support the climate change adaptation needs of relevant stakeholders at the local level?</li> <li>- Has the implementation of the project been inclusive of all relevant stakeholders?</li> <li>- Were local beneficiaries and stakeholders adequately involved in project design and implementation?</li> </ul>						<ul style="list-style-type: none"> <li>- Degree to which the project supports local needs and aspirations</li> <li>- Degree to which the project meets stakeholders' expectations</li> </ul>	<p>Project partners and stakeholders</p> <p>Needs assessment studies</p> <p>Project documents</p>
Is the project internally coherent in its design?	<ul style="list-style-type: none"> <li>- Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)?</li> <li>- Is the length of the project sufficient to achieve project outcomes?</li> </ul>						<ul style="list-style-type: none"> <li>- Level of coherence between project expected results and project design internal logic</li> <li>- Level of coherence between project design and project implementation approach</li> </ul>	<p>Program and project documents</p> <p>Key project stakeholders</p>

How is the project relevant with respect to other donor-supported activities?	<ul style="list-style-type: none"> <li>- How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors?</li> <li>- Is there coordination and complementarity between donors?</li> </ul>						Degree to which project was coherent and complementary to other donor programming nationally and regionally	Documents from other donor supported activities Other donor representatives Project documents
Does the project provide relevant lessons and experiences for other similar projects in the future?	Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?						Extent of lessons learned documentation	Key informant interviews  Group discussions  Documentary review
<b>Effectiveness: To what extent have/will the expected outcomes and objectives of the project been/be achieved?</b>								
<p>Effectiveness of the project in achieving its intended purpose, outputs, and immediate outcomes</p> <p>Extent to which the project contributes to the overall goal and main outcome</p>	<ul style="list-style-type: none"> <li>- How has the project performed against its indicators and targets (given in the log-frame)?</li> <li>- What have been the key factors leading to project achievements?</li> <li>- To what extent can observed results be attributed to the project or not?</li> <li>- Has the project failed in any respect?</li> <li>- Have there been notable changes in the enabling environment for the project?</li> <li>- Has the project been able to deliver adaptation tools and</li> </ul>						<ul style="list-style-type: none"> <li>- Achievement of milestones and targets as laid out in the log-frame and monitoring plan</li> <li>- Extent of support from project partners, government/political staff</li> <li>- Extent to which government technical staff actively participated in the project</li> <li>- Evidence of early uptake of project documentation and results within policy, planning, decisions making and practice.</li> </ul>	<p>Documentary review</p> <p>Key informant interviews</p> <p>Focus Group Discussions</p> <p>Field visits to pilot sites</p>

	<p>methodologies for use in decision making and application at community level?</p> <ul style="list-style-type: none"> <li>- Has the project contributed to incorporation of adaptation principles in national planning and development policy process in target countries?</li> <li>- What are the views of the various stakeholders on the achievements of the project?</li> <li>- How well has the project documented its achievements?</li> </ul>							
Lessons that can be drawn regarding effectiveness for the future of the project and other similar projects in the future	<ul style="list-style-type: none"> <li>- What lessons have been learned from the project regarding achievement of outputs and outcomes</li> <li>- What changes can be made to the design of similar projects in order to improve the achievement of the expected results?</li> </ul>						<ul style="list-style-type: none"> <li>- Extent of lessons learned documentation</li> <li>- Evidence of early application of lessons learned</li> </ul>	<p>Key informant interviews Group Discussions Document review</p>
Management of risks and risk mitigation	<ul style="list-style-type: none"> <li>- How well are risks, assumptions and impact drivers being managed?</li> <li>- What is the quality of risk mitigation strategies developed? Are these sufficient?</li> </ul>						<ul style="list-style-type: none"> <li>- Extent to which project responds to identified and emerging risks (particularly risks of low participation due to perceived needs for immediate action rather than planning)</li> <li>- Level of attention paid to updating risks</li> </ul>	<p>Group Discussion/Focus Groups  Document review  Key informant interviews</p>



<p>Extent to which the project has efficiently utilize local capacity in implementation</p>	<ul style="list-style-type: none"> <li>- Was an appropriate balance struck between utilization of international expertise as well as local capacity?</li> <li>- Did the project take into account local capacity in design and implementation of the project?</li> <li>- Was there an effective collaboration between institutions responsible for implementing the project?</li> </ul>						<p>Proportion of expertise utilized from international experts compared to national experts</p> <p>Number/quality of analyses done to assess local capacity potential and absorptive capacity</p>	<p>Project documents and evaluations UNDP Beneficiaries</p>
<p><b>Efficiency: To what extent has the project been implemented in a cost-effective and timely manner?</b></p>								
<p>Cost-effectiveness and financial efficiency</p>	<ul style="list-style-type: none"> <li>- Were the accounting and financial systems in place adequate for project management and for producing accurate and timely financial information?</li> <li>- Were funds made available or transferred efficiently to address the project purpose, outputs and planned activities?</li> <li>- Were funds used correctly - (explain any over- or under-expenditures)?</li> <li>- Were financial resources utilized efficiently (converted into outcomes)? Could financial resources have been or be used more efficiently?</li> <li>- Were procurements carried out in a manner making efficient use of project resources?</li> </ul>						<ul style="list-style-type: none"> <li>- Extent to which funds were converted into outcomes as per the expectations of the Project proposal</li> <li>- Level of transparency in the use of funds</li> <li>- Level of satisfaction of partners and beneficiaries in the use of funds</li> </ul>	<p>Documentary review</p> <p>Key informant interviews</p>

	<ul style="list-style-type: none"> <li>- Were project audits conducted? Were issues raised in audit reports efficiently addressed?</li> <li>- Was the project implementation as cost effective as originally proposed (planned vs. actual)</li> <li>- Did the leveraging of funds (co-financing) happen as planned?</li> </ul>							
Implementing efficiency (including monitoring)	<ul style="list-style-type: none"> <li>- Were the project logical framework and work plans (and any changes made to them) used as management tools during implementation?</li> <li>- Was the project implemented as planned, including the proportion of activities in work plans implemented?</li> <li>- Was monitoring data collected as planned, analysed and used to inform project planning?</li> <li>- Was project implementation responsive to issues arising (e.g. from monitoring or from interactions with stakeholders)?</li> <li>- What learning processes were put in place and who has benefited (e.g. training, exchanges with related projects) and how did this influence project outcomes?</li> <li>- Were progress reports produced accurately, timely and responded to, including adaptive management changes?</li> </ul>					<ul style="list-style-type: none"> <li>- Extent to which project activities were conducted on time</li> <li>- Extent to which project delivery matches the expectation of the proposal and the expectations of partners</li> <li>- Level of satisfaction expressed by partners in the responsiveness (adaptive management) of the project</li> <li>- Level of satisfaction expressed by project implementing agency and in regard to technical back-stopping</li> </ul>	<p>Key informant interviews</p> <p>Group Discussions/ Focus group</p> <p>Document review</p>	

	<ul style="list-style-type: none"> <li>- Did the project experience any capacity gaps (e.g. staffing gaps)?</li> <li>- Were internal and external communications effective and efficient?</li> <li>- How efficiently have resources and back-up been provided by donors, including quality assurance</li> </ul>							
Efficiency of partnership arrangements for the project	<ul style="list-style-type: none"> <li>- To what extent were partnerships/linkages between institutions/organisations encouraged and supported?</li> <li>- Which partnerships/linkages were facilitated? Which ones can be considered sustainable?</li> <li>- What was the level of efficiency of cooperation and collaboration arrangements?</li> <li>- Which methods were successful or not and why?</li> </ul>						<ul style="list-style-type: none"> <li>- Extent to which project partners committed time and resources to the project</li> <li>- Extent of commitment of partners to take over project activities</li> </ul>	<p>Key informant interviews</p> <p>Group Discussions/Focus group</p> <p>Document review</p>
Lessons that can be drawn regarding efficiency for the project and other similar projects in the future	<ul style="list-style-type: none"> <li>- What lessons can be learnt from the project regarding efficiency?</li> <li>- How can/could the project have been more efficiently implemented (in terms of management structures and procedures, partnerships arrangements etc.)?</li> </ul>						<ul style="list-style-type: none"> <li>- Level of satisfaction in project implementation arrangements</li> <li>- Suggestions put forward by partners for possible improvement</li> </ul>	<p>Key informant interviews</p> <p>Group Discussions/Focus group</p> <p>Document review</p>

	- What changes can/could have been made (if any) to the project in order to improve its efficiency?							
<b>Sustainability and Replication: To what extent is there persistence of benefits resulting from the implementation of project activities? Including (possibilities of) replication, up-scale and catalytic effects?</b>								
Project sustainability measures	<ul style="list-style-type: none"> <li>- What project sustainability measures (social, environmental, institutional, economical) exist?</li> <li>- What factors are likely to negatively affect project sustainability?</li> <li>- What are the key constraints to sustainability of project interventions?</li> <li>- Have partners and stakeholders successfully enhanced their capacities and do they have the required resources to make use of these capacities?</li> <li>- Does the project have a clear exit strategy or transformational strategy to another phase?</li> </ul>						<ul style="list-style-type: none"> <li>- Extent to which local technical staff and stakeholders are applying new ideas outside of the immediate project context</li> <li>- Extent to which other local stakeholders are liaising with the project for information sharing</li> </ul>	<p>Documentary review</p> <p>Key Informant interviews</p> <p>Group</p> <p>Discussions/</p> <p>Focus Groups</p>
<b>Factors Affecting Performance: What factors have facilitated or constrained the performance of the project to achieve its intended outcome and impact?</b>								
Project Design and Structure	Was the design and structure of project activities conducive to the achievement of the objectives and outcomes?						<ul style="list-style-type: none"> <li>- Quality of causal logic linking project outputs and outcomes</li> <li>- Number and quality of impact drivers, assumptions and risks identified</li> <li>- Sufficiency of resources set aside for project implementation</li> </ul>	<p>Documentary review</p> <p>Key informant interviews</p> <p>Group discussions</p>

							<ul style="list-style-type: none"> <li>- Extent and quality of planned activities related to communication and knowledge management</li> <li>- Incorporation of gender into outcomes and design elements</li> </ul>	
Project Coordination and Management	Have the project coordination and management arrangements been conducive to the achievement of its objectives?						<ul style="list-style-type: none"> <li>- Level of clarity of roles and responsibilities of different project partners and staff</li> <li>- Nature and relative weight of factors within or between project partners that enabled/inhibited project implementation</li> <li>- Quality of supervision/ oversight by the project coordination unit</li> <li>- Perceptions on the quality of UNDP project supervision, guidance and technical backstopping provided</li> </ul>	<p>Documentary review</p> <p>Key informant interviews</p> <p>Group discussions</p>
Stakeholder involvement	<ul style="list-style-type: none"> <li>- Did the project involve the relevant stakeholders through information sharing and consultation and by seeking their participation in project design, implementation and M&amp;E?</li> <li>- Did the project implement appropriate outreach and public awareness campaigns?</li> <li>- Did the project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities,</li> </ul>						<ul style="list-style-type: none"> <li>- Number, fluency, type, and quality of stakeholder engagement at each stage of project design, implementation and M&amp;E</li> <li>- Changes in public awareness as a result of outreach/ communication by project</li> <li>- Quality of consultations/feedback mechanisms/ meetings/ systems in place for project implementers to learn the opinions of</li> </ul>	<p>Documentary review</p> <p>Key informant interviews</p> <p>Group discussions</p>

	<p>local governments, and academic institutions in the design, implementation, and evaluation of project activities?</p> <p>- Were the perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process taken into account while taking decisions (including relevant vulnerable groups and powerful supporters and opponents)?</p>					<ul style="list-style-type: none"> <li>○ Community groups</li> <li>○ Local government</li> <li>○ National government</li> <li>○ Non-government groups</li> <li>○ Others</li> </ul> <p>- Extent of beneficiary needs integrated into project design (appropriateness of strategies chosen, site selection, degree of vulnerability of targeted groups, etc.)</p> <p>- Evidence of participation from a wide range of stakeholder groups (in support and opposed to the project)</p>	
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## Annex 7 - Questionnaire used

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### A. Questionnaire for Project team

Date: \_\_\_\_\_

Sex:  Male  Female

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organisation: \_\_\_\_\_

#### Introduction

#### A. Overall impressions

1. What are your overall impressions of the success of the project so far?
2. What do you think has been successful/less successful?
3. What would push the level of success higher?
4. What do you think could have gone/could be going better?
5. The MTR concludes that it is unlikely that the project meet targets without structural changes. Have there been any changes since the MTR was conducted that affect this conclusion?
6. Given the project progress so far, do you believe that it will meet its target?
7. Is the project results framework realistic? Are the indicators of the results framework appropriately ambitious (institutional capacity enhanced, vulnerability of communities decreased)?
8. Can you describe the project's interaction with other existing initiatives?
9. Additionality: to what extent would the activities supported by UNDP/GEF LDCF have taken place if GEF support would have not been available?

#### B. Effectiveness/ Efficiency

- Does the actual implementation of the project differ from the initial objectives, budget, actions and parties involved? If so, in what way and for what reasons?
- Logframe:
  - how do you collect data for the quarterly / annual reports?
  - Which indicators are too ambitious?
  - How do you monitor the indicator on capacity perception index (1.1)?
  - How do you monitor the indicator on climate -relevant infrastructure established (2.1)? Do you also consider the operation of these new infrastructure?
  - Has there been discussion to include gender indicator in the logframe?
- Implementation Component 1:
  - What are the main challenges that you experimented in the implementation of Component 1?
  - Do you consider the outcome from this component has high transformational potential towards resilience?
- Implementation Component 2:
  - What are the main challenges that you experimented in the implementation of Component 2?
  - Do you consider the outcome from this component has high transformational potential towards resilience?
- Implementation Component 3:

- What are the main challenges that you experimented in the implementation of Component 3?
- Do you consider the outcome from this component has high transformational potential towards resilience?

### **C. Results and impacts**

- Are the project Outputs produced and Impacts achieved to date in line with your expectations?
- What changes in the external environment or challenges, if any, have arisen during implementation? What impact have these challenges had?

### **D. Efficiency**

- Has there been any benchmarking for the costs of the Program versus the costs of other similar projects?
- Are there other project areas that could benefit from additional funding? Or alternatively, areas where funding could be transferred from?

### **E. Risk management**

- What are the main risks that have been identifier at the beginning? Were the risks anticipated at the beginning of the project? Were all risks identified? Are there other risks that have emerged that you think are important?
- Was the Project's Risk mitigation approach appropriate to dealing with emerging problem(s)? If not, why not?
- What risks can be identified as affecting the implementation of the Project next phase? How can these be mitigated within the framework of the Project?

### **F. Relevance/coordination/Synergies/complementarities**

- The project is one of several initiatives addressing adaptation needs in **São Tomé and Príncipe**. How do you coordinate with these other initiatives?
- To what extent is the project complementary with other climate adaptation initiatives? How does this project differ from them / avoid duplication?
- Did you envisage to seek financial support for a 2<sup>nd</sup> phase of the project?

### **G. The interactions with key stakeholders**

- To date, can you describe the process of how the Project has included the relevant stakeholders (e.g. ministries, other IFIs and donors, project developers, etc.)?
- Are there stakeholder groups that the original Project strategy failed to identify? If so, which ones, and are they being included now?

### **H. Lessons learned during program implementation**

- Have any lessons learned during the Project's implementation to date been communicated to (a) the relevant stakeholders, and (b) other UNDP programs and projects? Who have any lessons learned been communicated to and by what means?



## B. Questionnaire for the Project's Beneficiaries

Date: \_\_\_\_\_

Sex:  Male  Female

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organisation: \_\_\_\_\_

### *Introduction*

- Inform the interviewee of the overall aim of the interview, the time allotted, and that their comments will not be attributed.

### A. Overall questions

- Were there any requirements for you to participate in the project?
- I understand that the key climate challenges are x, y, z (according to the district and site visit), is this correct?
- How did you manage these challenges before the project?
- How do you manage these challenges since you started participating in the project?
- In your opinion, is this change as a result of the project?

### B. Effectiveness/ Efficiency

- What sort of interactions have you had with the project team?
- What are your overall impressions of the interaction with the project consultants and staff?
- What sort of cooperation/assistance with the project team have you received under the project?
- Which type of assistance did you find the most valuable for you and your community?
- What sort of cooperation/assistance do you wish was available?
- If support under UNDP/GEF had not been available, would you or your community have invested in the technology/practice anyway?
- If yes, in what ways (if any) would the investment have been different (e.g. timing of investment, choice of technologies, etc.)?

### C. Participation

- Were there opportunities for participating at the project design (equally for women and men)?
- Were there opportunities for participating in the implementation of the project (equally for women and men)?
- In which ways did you participate in the project (e.g. capacity building, technical assistance, consultations)?
- How was it decided on the specific investments for adaptation in your community? Were you part of this decision?

### D. Sustainability

- Are you aware if there are any specific requirements for resources and skills to maintain the installed infrastructure?
- Do you have these resources and skills? If not, has the project provided a plan or strategy to facilitate you to achieve the resources and gain the necessary skills to maintain the infrastructure?

## C. Questionnaire for Training Participants

Date: \_\_\_\_\_

Sex:  Male  Female

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organisation: \_\_\_\_\_

### *Introduction*

- Inform the interviewee of the overall aim of the interview, the time allotted, and that their comments will not be attributed.

### **1. How effective has the project been in terms of meeting its overall objective (i.e. Outcome 1)?**

- In how many trainings have you participated?
- How has your capacity improved through the training events you participated in?
- How would you rate the impact of the training, on scale of 1 (minimal) to 5 (excellent):
  - I gained new information on adaptive strategies for resilient livelihoods
  - I acquired new skills on adaptive strategies for resilient livelihoods
  - I was made aware of the importance of adaptation to climate change
- How have you applied the skills and knowledge that you learned?
- Have you transferred the skills/knowledge you learned to other country stakeholders, or developed institutional arrangements to ensure sustainability? Please describe,
- How well did the project team arrange the logistics and participant selection for trainings and other activities? Are the participants the right targets?
- Did you receive training materials that you could further use and share with other stakeholders?

### **2. What factors (both internal and external to the project) help or hinder in the achievement of the program's expected results?**

### **3. What adjustments, corrective actions, and/or areas for improvement are needed to ensure effectiveness in achieving expected results during the duration of the program?**

- What improvements would you suggest for future program events?
- If it were up to you, what activities would you have the program concentrate on?

## D. Climate Change Capacity Building and Agriculture Survey

1. In what training did you participate? (you can choose more than one)

- Climate Change
- Greenhouse
- Plant pests and diseases
- Other (please note other trainings in which you participated)

2. What training have you received on climate change?

- I was in the training led by an outside expert.
- I was in the training led by a colleague of mine from CADR.

3. How would you describe your knowledge about climate change before the project started?

- I had no knowledge
- I knew what climate change is, but nothing else.
- I had good knowledge about climate change and implications for agriculture.

4. How would you describe your knowledge of climate change after the project has been completed?

- My knowledge is the same as before
- I have learned new things about climate change, but I still don't connect them well to agriculture.
- I've learned new things about climate change and I'm able to use them in agriculture.
- I have considerably improved my knowledge about climate change and agriculture, but I am still not able to teach others about it
- I have considerably improved my knowledge of climate change and agriculture and am able to teach others about it

5. How would you rate the general training provided by the project on climate change (check one)?

- Poor
- Good
- Excellent

6. How would you rate the general training provided by the project on agricultural practices (check one)?

- Poor
- Good
- Excellent

7. Has the climate change training met your expectations?

- No
- Some aspects
- Yes

8. Did the training in farming practices meet your expectations?

- No
- Some aspects
- Yes

9. Will you be able to apply the knowledge and skills learned about climate change in future jobs?

- No
- Some aspects
- Yes

10. What are your knowledge and skills to design and implement climate adaptation solutions for agricultural production?

- I need more training to design and implement adaptation solutions in agriculture
- I have enough theoretical knowledge, but I cannot apply it to the design and implementation of adaptation solutions.
- I have sufficient theoretical and practical knowledge and skills to design and implement adaptation solutions

11. Were materials distributed as part of the training?

- No
- Yes

12. Do you find the materials useful?

- No
- Some aspects
- Yes

13. What did you like best about this training?

14. The training can be improved...

15. Do you have any ideas or suggestions on other topics related to climate change and agriculture that you would like to know more about?

16. As a result of the training, I intend to apply my knowledge and skills in ...

## Annex 8 - Summary of MTR recommendations and project's response

MTR Recommendations	Actions taken or status at TE
Hire a technical assistance to reassess the greenhouses functioning and carry out the necessary adaptations.	The project has not addressed this recommendation in the last period of implementation.
Develop an intensive training course on greenhouse production, in CATAP, for agricultural extension workers and technical staff from the Ministry of Agriculture, as well as cooperatives members	A curriculum is in preparation for a special course on greenhouse management practices.
Still concerning the greenhouses, new management models should be developed and implemented;	The project has not addressed this recommendation in the last period of implementation.
Develop rainwater utilization systems in greenhouses with major water supply problems, until the end of the project	Rainfall systems were implemented in some greenhouses.
Considering the project budget availability, install a greenhouse structure (with a smaller area than the models already implemented) in CIAT for research purposes;	The project has not addressed this recommendation in the last period of implementation.
At the infrastructures' management level, develop business plans for greenhouses and remaining equipment, promoting an evidence-based decision-making about the best management models to implement;	The project has prepared business planes for the greenhouse cooperatives.
Intensify the training activities and technical support to the project beneficiary communities in all the institutions involved in the project	The project has not addressed this recommendation in the last period of implementation.
Pay particular attention to the team isolation in the Principe Island, guaranteeing the support to the identified projects in the region	The project has not addressed this recommendation in the last period of implementation.
The adaptation plans of action on climate change shall be developed only if the necessary connection to the Directorate-General for Environment and the National Committee for the Climate Change is guaranteed	The project has not addressed this recommendation in the last period of implementation.

<p>Develop, by the end of the project, an assessment of the institutional capacities of the partners regarding the inclusion of climate change in their work plans.</p>	<p>The project has not addressed this recommendation in the last period of implementation.</p>
<p>Assure a greater involvement of the Directorate-General for Environment in climate change adaptation project.</p>	<p>The project has not addressed this recommendation in the last period of implementation.</p>

## Annex 9 – TE rating scales

The TE rating scales are in accordance to the GEF criteria for UNDP projects.

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution		
<p><b>6: Highly Satisfactory (HS):</b> The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency</p> <p><b>5: Satisfactory (S):</b> There were only minor shortcomings</p> <p><b>4: moderately Satisfactory (MS):</b> there were moderate shortcomings</p> <p><b>3. Moderately Unsatisfactory (MU):</b> the project had significant shortcomings</p> <p><b>2. Unsatisfactory (U):</b> there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency</p> <p><b>1. Highly Unsatisfactory (HU):</b> The project had severe shortcomings</p>	<p><b>Sustainability ratings:</b></p> <p><b>4. Likely (L):</b> negligible risks to sustainability</p> <p><b>3. Moderately Likely (ML):</b> moderate risks</p> <p><b>2. Moderately Unlikely (MU):</b> significant risks</p> <p><b>1. Unlikely (U):</b> severe risks</p>	<p><b>Relevance ratings:</b></p> <p><b>2. Relevant (R)</b> <b>1. Not relevant (NR)</b></p> <p><b>Impact ratings:</b></p> <p><b>3. Significant (S)</b> <b>2. Minimal (M)</b> <b>1. Negligible (N)</b></p>
<p><i>Additional ratings where relevant:</i></p> <p>Not Applicable (N/A) Unable to Assess (U/A)</p>		

## Annex 10 - Signed Evaluation Consultant Agreement form

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Programme des Nations Unies pour le développement



Au service  
des peuples  
et des nations

**AMENDMENT TO THE CONTRACT  
BETWEEN  
UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)  
AND  
Company ECO LIMITED**

Reference is made to the contract number **066/2019** dated **04.11.2019** signed between the **United Nations Development Programme (UNDP)**, and **Company ECO LIMITED**, with respect to the scope of the Contract (TOR), and as per mentioned within UNDP Rules and Regulations, any modification to this Agreement shall require an amendment in writing between both parties and duly signed by the authorized representatives of the Contractor and UNDP.

Therefore Parties hereby agree on the following;

**WHEREAS** UNDP and ECO Limited now wish to amend said Contract in order to extend the period of the Agreement;

**NOW THEREFORE**, the relevant Agreement provisions indicated below are hereby amended to read as follows:

**2. Duration of Agreement**

**Extend period of agreement from 5 December 2019 to 31 March 2020;**

**NEVERTHELESS**, all other terms and conditions of the Contract, except as amended herein, shall remain unchanged and shall continue in full force and effect.

**IN WITNESS WHEREOF**, THE UNDP AND THE CONTRACTOR HAVE SIGNED THIS AMENDMENT

For UNDP:

By K. Wawiorska  
(signature)

Katarzyna Wawiorska  
Title: Resident Representative  
Date: 04.12.2019

For the Contractor:

By E. Binemer  
(signature)

Grant Ballard-Tremeer  
Title: Director  
Date: 04.12.2019





**UNDP REIMBURSABLE LOAN AGREEMENT (RLA)**

Date of Agreement: **04.11.2019** Contract Reference: **066/2019** Vendor No.: **000004597**  
 MEMORANDUM OF AGREEMENT between the UNITED NATIONS DEVELOPMENT PROGRAMME (hereinafter referred to as "UNDP") and **ECO LIMITED** (hereinafter referred to as "The Company")  
 Whose Address is: **HEADQUARTERS 55 Chislehurst Road Chislehurst, BR7 5NF United Kingdom**  
 Wherby the Company will provide the services of **Final Evaluation of Adaptation Project - PIMS 4645**  
 The Company accepts this engagement of service with UNDP according to the terms and conditions hereinafter set forth.

**1. Duties of Consultant**

The company shall make available **Ms Lili Liava** (hereinafter called "The Consultant") who shall perform the duties according to the attached Terms of Reference, which shall form an integral part of this agreement. The services will be performed principally at UNDP.

**2. Duration of Agreement**

For a maximum duration of **Thirty (30) days** This agreement shall commence on **5 November 2019** and shall expire no later than **4 December 2019**

**3. Consideration**

- a) For the services performed by the Company under the terms of this agreement and subject to the provisions of Article 5 below, UNDP shall reimburse the Company the sum of: **USD 24,995.00 Twenty Four Thousand and Nine Hundred Ninety Five Dollars**  
 Gross Per Day Worked  Gross Lump Sum  Equal Payments  Other
- b) Other Reimbursable Items:  Airfare  DSA  Terminal Expenses  Other
- c) The Company will provide UNDP with the enclosed UNDP Certification of Payment Form(s) to claim payments per subsection 3a.
- d) The Company will provide a Company invoice (attaching receipts) to claim Other Reimbursable Items per subsection 3b.
- e) The Company will submit UNDP Certification of Payment Form and Company Invoices to: UNDP Office in **Silo Tund e Principe**

Payments made in a currency other than US dollars will be made at the UN operational rate of exchange in effect on the day of payment and the Company will incur charges related to the payment. The Company is responsible for any taxes levied on the monies received under this agreement.

**4. Rights and Obligations**

- a) It is understood that the obligations of UNDP are limited to those expressly provided for in this agreement.
- b) This agreement shall not in any respect confer upon the Consultant the status of staff member of the UNDP.
- c) The Company will make available the services of the Consultant for the period noted above, and will remain responsible for actual payment of salaries, taxes and any other overhead administrative charges.
- d) It is understood that the Company will provide insurance and medical coverage for the Consultant. In particular, the Company will remain responsible for insuring the Consultant in the event of accident, illness, or death, whether or not such event occurs during service with UNDP.
- e) The rights and obligations of the Company are strictly limited to the terms and conditions of this agreement. Accordingly, the Company shall not be entitled to any benefit, payment, subsidy, compensation or entitlement, except as expressly provided in this agreement.
- f) The Company shall be solely liable for claims by third parties arising from negligent acts or omissions by the Company/Consultant in the course of performing this agreement, and under no circumstances shall UNDP be held liable for such claims by third parties.
- g) The title rights, copyrights and all other rights of whatsoever nature in any material produced under the provisions of this agreement shall be vested exclusively in UNDP.

**5. Standard Conditions**

UNDP standard conditions of procuring services shall apply to this agreement (Attachment A).

**6. Effectiveness**

This contract shall become effective on the date of signing of this Memorandum of Agreement, the execution by of the Consultant of the Side Letter (Attachment B), affirming his/her personal obligation to abide by the Covenants stipulated therein. This contract shall be in full force and effect until the services have been completed and all payments therefor have been made.

In witness whereof, the parties hereto agree with the terms and conditions of the agreement.

<u>Grant Ballard-Tremmer</u>	<u>04.11.2019</u>	<u>Katarzyna Wawrzynia</u>	<u>04.11.2019</u>
(The Company) Director	Date	(UNDP) Resident Representative	Date

Signature: EBlerner

Signature: [Handwritten Signature]

Please return a copy of this agreement to: UNDP - Silo Tund

## Annex 11 – Signed UNEG Code of Conduct form

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### Evaluators:

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

#### Evaluation Consultant Agreement Form

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

Name of Consultant: **Dr. Lili Ilieva**

Name of Consultancy Organization (where relevant): E Co. Ltd

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

Signed at Chislehurst on 16 September 2019

Signature:  \_\_\_\_\_