

**“Terminal Evaluation of the UNEP/UNDP/GEF Project:
“Assisting non-LDC developing countries with country-
driven processes to Advance National Adaptation Plans”
and GEF ID 5683”
(2016-2019)**



*Empowered lives.
Resilient nations.*



Evaluation Office of the United Nations Environment Programme

Distributed: September 2020



Photos Credits:

Front cover: Tajikistan, 2015 (Photo by UNDP)

©UNDP / A workshop held by UNDP aimed at initiating development of a sectoral NAP focussed on disaster risk reduction in Tajikistan.2015.

This report has been prepared by independent consultant evaluators and is a product of the Evaluation Office of UNEP. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.

For further information on this report, please contact:

Evaluation Office of UNEP

P. O. Box 30552-00100 GPO

Nairobi Kenya

Tel: (254-20) 762 3389

Email: unenvironment-evaluation-director@un.org

Website: <https://www.unenvironment.org/about-un-environment/evaluation>

Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)

UNEP PIMS ID 01247

UNDP PIMS ID 5347

September 2020

All rights reserved.

© 2020 UN Environment Programme

ACKNOWLEDGEMENTS

This Terminal Evaluation was prepared for UNEP by Segbedzi Norgbey (Lead Consultant) and Francisco Arango, as independent consultants.

The evaluators would like to express their gratitude to all persons met and who contributed to this evaluation, as listed in Annex 4.

The evaluation team would like to thank the project team and in particular Rohini Kohli, UNDP Lead Technical Specialist - Climate Change Adaptation; Umberto Labate, Technical and Portfolio Management Specialist Climate Change Adaptation, UNDP; Yusuke Taishi, UNDP Regional Technical Advisor - Climate Change Adaptation as well as Mozaharul Alam, UNEP Regional Coordinator - Climate Change Programme in Asia and the Pacific; Tunnies Srisakulchairak, UNEP Programme Management Officer, for their contribution and collaboration throughout the Evaluation process. Sincere appreciation is also expressed to the Project Board who took time to provide comments to the draft report.

The evaluation consultants hope that the findings, conclusions, lessons learned and recommendations will contribute to the successful formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

BRIEF CONSULTANT BIOGRAPHY

Segbedzi Norgbey graduated from the University of Science and Technology in Ghana with a Bachelor of Science (Hons) degree in Planning. He holds a Master of Environmental Science degree from Dalhousie University in Canada. In 1988, he obtained a Ph.D. in Resource and Environmental Management from Michigan State University. Dr Norgbey is very well published and known widely in international circles in the area of Development Evaluation, Environment and International Development. ...

Francisco Arango holds degrees in Industrial and Mechanical Engineering, and a M.Sc. degree in Environmental and Resource Management. Francisco has expertise and experience on policy development, project design and evaluation, climate and carbon finance, training and capacity development, greenhouse gas accounting, and climate change vulnerability and risk assessment.

Evaluation team

Segbedzi Norgbey – Principle Consultant

Francisco Arango – Specialist Consultant

Evaluation Office of UNEP

Pauline Marima – Evaluation Manager

Mela Shah – Evaluation Programme Assistant

ABOUT THE EVALUATION

Joint Evaluation: No

Report Language(s): English.

Evaluation Type: Terminal Evaluation

Brief Description: This report is a Terminal Evaluation of a Global Environment Facility project implemented jointly by UNDP and UNEP between 2016 and 2019. The project's overall objective was to “strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs”. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, UNDP and the relevant agencies of the project participating countries.

Key words: : Non-Least Developed Countries (non-LDCs), Climate Change (CC), National Adaptation Plans (NAPs), Global Support Programme (GSP), Sustainable Development Goals (SDG), Special Climate Change Fund (SCCF), Terminal Evaluation, Conference of the Parties (COP), Global Environment Facility (GEF).

Primary data collection period: October 2019 – April 2020

Field mission dates: N/A

Table of Contents

Executive Summary	11
1. Introduction	16
2. Evaluation Methods	18
2.1 Data collection and analysis methods.....	18
2.2 Limitations to the evaluation	20
2.3 Ethical considerations	20
3. The Project	21
3.1 Context of the Project	21
3.2 Results Framework	22
3.3 Stakeholders.....	23
3.4 Project Implementation Structure and Partners.....	26
3.5 Changes in design during implementation	27
3.6 Project Financing.....	27
4. Theory of Change	29
4.1 Causal Pathway from Outputs to Direct Outcomes.....	35
4.2 Causal pathway from Direct Outcomes to Impact.....	35
5. Evaluation Findings	36
5.1 Strategic Relevance.....	36
5.2 Quality of Project Design	37
5.3 Nature of External Context.....	39
5.4 Effectiveness	39
5.4.1 Delivery of outputs	40
5.4.2 Achievement of Direct Outcomes	45
5.4.3 Likelihood of impact.....	49
5.5 Financial Management	50
5.6 Efficiency.....	54
5.7 Monitoring and Reporting	55
5.7.1 Monitoring design and budgeting	55
5.7.2 Monitoring implementation.....	56
5.7.3 Project Reporting.....	56
5.8 Sustainability of Project Outcomes.....	57
5.8.1 Socio-political sustainability	57
5.8.2 Financial sustainability	57
5.8.3 Institutional sustainability	58

5.9	Factors Affecting Performance	59
5.9.1	Preparation and Readiness	59
5.9.2	Quality of Project Management and Supervision	59
5.9.3	Stakeholders’ Participation and Cooperation.....	60
5.9.4	Responsiveness to Human Rights and Gender Equity.....	61
5.9.5	Country Ownership and Driven-ness	62
5.9.6	Communication and Public Awareness.....	62
6.	Conclusions, Lessons and Recommendations.....	64
6.1	Conclusions	64
6.2	Lessons Learned.....	70
6.3	Recommendations	71
	Annex 1. Evaluation TORs (without annexes)	73
	Annex 2. Evaluation Brief	92
	Annex 3. List of Documents consulted for the evaluation.....	94
	Annex 4. List of Interviewees	95
	Annex 5: Evaluation Schedule	96
	Annex 6: Project Results Framework	97
	Annex 7. Summary of co-finance information and project expenditure.....	100
	Annex 8. Weighted Rating of the Evaluation Criteria	102
	Annex 9: List of Participating Countries	103
	Annex 10: Audit trail for the comments received on (13-07-202) from the Terminal Evaluation of « Assisting non- LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs) » - GEF ID 5683	104
	Annex 11. Brief Profiles of the Consultants.....	111
	Annex 12. Quality Assessment of the Evaluation Report	113

List of Tables and Figures

Table 1. Project identification table	10
Table 2. Key agencies interviewed.....	19
Table 3. Summary of project components.....	22
Table 4. Stakeholder Analysis.....	24
Table 5. Project estimated budget by Outcome.....	28
Table 6. Project co-financing initiatives	28
Table 7. Proposed changes to the definitions in the project results framework and justification	31
Table 8. Regional trainings and training of trainer workshops.....	42
Table 9. Expenditure by Component (UNDP).....	50
Table 10. Expenditure by component (UNEP)	51
Table 11. UNDP Co-Finance by Project.....	51
Table 12. UNEP Co-Finance by year and Activity	51
Table 13. Financial Management.....	52
Table 14. Ratings of project criteria and summary assessment	65
Figure 1. Decision-making and organizational chart (Source: Project Document).....	27
Figure 2. Theory of change according to project document.....	30
Figure 3. Revised Theory of Change at Evaluation	34

Acronyms and Abbreviations

AC	Adaptation Committee
AF	Adaptation Fund
APAN	Asia Pacific Adaptation Network
BRH	Bangkok Regional Hub
CBD	Convention on Biological Diversity
CC-Learn	One UN Training Service Platform on Climate Change
COP	Conference of the Parties
DIM	Direct Implementation Modality
EOU	Evaluation Office of UNEP
FAO	Food and Agriculture Organization of the United Nations
FSP	Full-size project
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GSP	Global Support Programme
GWP	Global Water Partnership
HFA	Hyogo Framework for Action
IFAD	International Fund for Agricultural Development
IISD	International Institute for Sustainable Development
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MTR	Mid-Term Review
MTS	Medium Term Strategy
NAP	National Adaptation Plan
NDCs	Nationally Determined Contributions
NGO	Non-Governmental Organisation
PB	Project Board
PIR	Project Implementation Report
PoW	Programme of Work
PRF	Project results framework
QPR	Quarterly Progress Reports
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goals

SPREP	Secretariat of the Pacific Regional Environment Programme
TE	Terminal Evaluation
ToR	Terms of Reference
TSU	Technical Support Unit
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNDRR	United Nations Office for Disaster Risk Reduction
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organisation

Table 1. Project identification table

GEF Project ID:	5683	GEF Agency Project ID:	UNEP: 01247 UNDP: 5347
Implementing Agencies:	UNEP and UNDP	Executing Agency:	UNEP Regional Office for Asia and the Pacific (ROAP) UNDP New York - GEF
Sub-programme:	Climate Change	Other Executing Partner(s):	N/A
UN Environment approval date:	July 2016	UNDP approval date:	March 2015
GEF approval date:	March 2015	Project type:	Full Size Project (FSP)
GEF-5 focal area objective -	CCA-2; CCA-3	Focal Area(s):	Climate Change
Trust Fund	Special Climate Change Fund (SCCF)	Executing Agency/ Implementing Partner:	UNEP /ROAP UNDP New York - GEF
Expected start date:	January 2015	Actual start date:	February 2016
Planned completion date:	December 2017	Actual completion date:	Q2. 2019 (operational completion)
Planned project budget at approval:	USD 46,300,000	Actual total expenditures reported as of June 2019:	USD 46,300,000
Cost to the SCCF:	USD 4,500,000	SCCF expenditures reported as of June 2019:	USD 4,179,362.04
Expected Full-Size Project co-financing:	USD 41,800,000	Secured Full-Size Project co-financing as of June 2019:	US\$ 39,948,672.73,
Project Preparation Grant:	USD 150,000	Project Preparation Grant - co-financing:	N/A
First disbursement:	UNDP: February 2016 UNEP: February 2016	Date of financial closure:	N/A
No. of revisions:	1	Date of last revision:	August 2017
No. of Project Board Meetings:	4	Date of last Project Board meeting:	February 2019
Mid-term Review/ Evaluation (planned date):	Q1. 2016	Mid-term Review/ Evaluation (actual date):	Q2. 2018
Terminal Evaluation (planned date):	September 2019	Terminal Evaluation (actual date):	Q4. 2019- Q1 2020
Coverage:	Non-LDC developing countries	Coverage - Region(s):	Global

Executive Summary

Background

1. The Global Environment Facility (GEF) full-sized project (FSP) "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)" was implemented jointly by the United Nations Environment Programme (UNEP) and United Nations Development Programme (UNDP). The total SCCF financed budget of the project was USD 4,500,000 shared equally between UNDP and UNEP to execute specific components of the project.

2. The project was designed to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-least-developed countries (non-LDCs). To achieve this objective, the project focused on supporting the development of institutional and technical capacities and increased access to and shared knowledge and lessons on adaptation planning through improved North-South and South-South collaboration. This was achieved through a combination of institutional support, training on relevant tools and methods, and knowledge dissemination to enhance national and international cooperation. The approach was aimed at overcoming barriers identified during the project design stage including barriers such as narrow approaches to the NAP processes often confined to environment ministries, limited institutional coordination among sectoral ministries to develop and implement climate change adaptation interventions, limited capacity to secure finance to implement existing climate change adaptation plans, and a lack of technical skills to build good-quality proposals that would secure financial resources to implement adaptation-related interventions.

The Evaluation

3. This terminal evaluation has been undertaken to assess project performance (in terms of relevance, effectiveness, and efficiency), and determine outcomes and impacts (actual and potential) produced by the project and the extent to which project results can be sustained. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among project stakeholders. The evaluation addresses three key strategic issues:

- the significant gains achieved from having the project jointly implemented by UNEP and UNDP;
- the extent to which the project succeeded in leveraging (domestic and/or external) funding sources to support the countries in sustaining project Outcomes post closure;
- The degree to which the project has been successful in putting in place methods that can assist non-LDCs in monitoring, reporting, and verifying impacts of adaptation interventions;
- The extent to which the project succeeded in mainstreaming Gender, Environmental and Social Safeguards considerations into the NAP process during implementation.

Findings

4. The evaluation did find that the project is relevant to the needs of non-LDCs by assisting the countries in developing the requisite capacity to plan for adaptation to climate change. The project is consistent with the strategic priorities of the GEF, UNDP and UNEP. This evaluation has found that the project was sufficiently well designed. However, the project could have benefitted from some improvements in the formulation of some of the elements of the results framework (see chapter 4), as well as issues related to human rights and indigenous peoples.
5. The project was jointly implemented by UNDP and UNEP. However, the governance and management structure were simply constructed and seemed appropriate. Roles and responsibilities of the two implementing organizations were clearly defined.
6. The project was successful in strengthening national frameworks and the capacity of governments to advance NAP processes. However, those contributions do not eliminate the need for additional support and capacity building activities in non-LDCs.
7. There was also a view that the inclusion of other critical local stakeholders from the private sector entities, indigenous people's groups and line ministries in national workshops would have enhanced learning. A suggestion to offer more webinars and extending project focus on different global frameworks and synergies between Sustainable Development Goals (SDGs), Nationally Determined Contributions (NDCs), and adaptation planning at national level seems to be an expression of the need for additional training.
8. The evidence shows that the project was able to mobilize governments, bilateral and multilateral agencies to support the process of developing capacity among governments and, indeed, supported government agencies to use the skills and tools acquired. Agencies such as FAO, GIZ, UNCDF, UNITAR and WMO provided technical advisory support during project implementation. Tools produced by the project seem to be in use and lessons are being applied. Non-LDCs have participated effectively in regional and national training activities and country level support has been successful, for the most part. With regards to country level commitment to sustaining technical and institutional capacity related to climate change, the project reports that a high number of countries are engaged in National Adaptation Planning. Many of the countries supported in this programme have in-country initiatives that will advance the NAP process. The NDCs have a substantial adaptation component.
9. While interviews with governments have indicated strong commitment to achieving the project objectives and there is evidence to show that some governments have, indeed, been working to integrate climate change adaptation into their national planning processes using tools and lessons learned from the project, it is too soon to state undoubtedly that the processes will be sustained in the longer term especially as it relates to the capacity built by this project and to the allocation of resources to support the processes at the national level.
10. Gender considerations were built into project design. Gender-disaggregated indicators and targets were included in the results framework of the project at the PPG phase. The output-level indicator under outcome 2 specified at least 30% female technician participation in training activities. However, indigenous people were not targeted/identified as main beneficiaries.
11. Support provided by the project was viewed favourably by project beneficiaries interviewed by the evaluation team. The countries underscored the funding options from the GCF as very important. Some countries stated that the support provided by the project was useful in the preparation of project proposals requesting GCF funding for climate change adaptation planning. While some of the countries have taken advantage of the training workshops to seek funding from the GCF there is no evidence to show that domestic funding has been leveraged as a result of this project.

12. This evaluation observes that there was efficient and effective collaboration among partners delivering training activities and, indeed, the project. This was attributed, in part, to the decision of the project to disseminate training products already available to project partners in addition to the development of new training products. Effective communication within the project team facilitated the sharing of knowledge and expertise between project partners. This knowledge and expertise were subsequently provided to participating countries. Most of the interviewees in the post-project survey and for this evaluation thought the regional workshops were useful in bringing countries in the same region together to learn and share experiences and in some cases to provide support to each other. Collaboration with countries in the regions was therefore viewed as a particularly useful outcome of the regional workshops. In particular, collaboration between UNDP and UNEP seemed to have been remarkably effective. Good communication and shared mission were considered the main contributing factors to effective collaboration. That, it was argued, represents a model for future collaboration on other projects within the UN family and with other international organizations.

13. Current knowledge and tools available for monitoring and evaluation were not considered sufficient to promote effective monitoring of vulnerability and adaptation plans and activities. This is an area that requires focus and need to be supported. In addition, inter-sectoral coordination is considered a necessary condition for effective adaptation planning and, for that matter, support for activities must be predicated on the existence of a strong inter-sectoral mechanism.

Conclusion

14. The project was successfully implemented under good collaboration between UNEP and UNDP and positive support from partners. The capacity of participating institutions has been strengthened to deliver future relevant interventions.

15. The bulk of the planned project outputs have been produced and some progress has been made along the pathway towards the strengthening institutional and financial frameworks to support NAP processes and developing technical capacity to support key steps of the National Adaptation Plan process in the participating countries. In addition, international and regional cooperation has been enhanced through South-South and North-South Cooperation by sharing knowledge. By successfully mobilizing support and gaining buy-in from key stakeholders such as governments, bilateral and multilateral organizations, a key assumption made by the project at design held.

16. The project has made progress towards the intermediate state which will enable countries to adequately plan for and adapt to the effects of climate change. Progress, albeit limited, is being made towards the stated impact of reducing vulnerability to climate change through effective medium- to long-term planning for climate change adaptation. Yet, it is clear that significant progress cannot be made towards this objective without infusion of internal resources and additional support from external sources which have yet to be acquired by the participating countries to further strengthen their respective planning processes

17. Partnerships between participating organizations were enhanced for future cooperation on projects that would support the NAP processes within non-LDCs.

18. The overall performance of the project has been rated as **Satisfactory (S)**. A detailed table (14) of ratings for the required parameters is included in section 6 of this report.

19. The evaluation has identified a few lessons from the project's implementation and made some recommendations. These are summarised below and discussed in detail in sections 6.2 and 6.3. of this report.

Lessons Learned

20. Lesson 1: Engagement of a wide cross-section of stakeholders at all levels is important in projects where the achievement of expected long-term impacts is highly dependent on their actions. Indeed, the need for strong inter-institutional coordination, including a leading role for the Ministries of Finance and Planning was indicated. Future projects should endeavour to provide support for effective coordination mechanism at the national level of the key players to facilitate adaptation planning.

21. Lesson 2: The private sector is a key player in climate change adaptation. Yet, while this project had proposed the implementation of pilot activities with the private sector, the results achieved were only limited. Effective planning and implementation of adaptation measures requires strong involvement of the private sector, and civil society, including community-based and youth organizations. The non-LDC NAP support project focus on government actors should be expanded in future initiatives to include more diverse stakeholders. **The role of the private sector and civil society, including community-based and youth organizations are extremely important in national adaptation planning, and should be treated as such with their participation clearly defined and translated into implementable activities.**

22. Lesson 3: The effective partnership among UN agencies has resulted in cost-effective and efficient program delivery and represents a good example of collaboration and coordination among UN agencies and a valuable model for future program delivery within the UN system.

Lesson 4: The scheduling and sequencing of training activities under the non-LDC NAP support project was not optimal and may have affected the results from these training events. E-tutorials were not provided to participants well in advance of the workshops. While capacity building activities in the project were quite strong on technical content, they often did not incorporate adequate learning techniques and may therefore have been less effective (paragraphs 116 and 119). Some concern was reported of workshop content clarity. Some participants claimed they did not fully understand what was presented making it a challenge to apply the knowledge with confidence. Some considered regional workshops as too generic which could be enhanced by covering success stories and constraints that are visible globally and within regions as well as critical technical limitations of adaptation planning. **To that extent, setting clear learning objectives and tailored techniques in Climate Change Adaptation programs produce more effective (learning) outcomes**

Recommendations

Recommendation #1: The results of the end-of-project survey conducted by the project team indicate the need to consider developing a follow-up project to undertake more training at the regional and country level. UNEP/UNDP should consider implementing a follow-up project to complement the national climate change adaptation processes. UNEP and UNDP should consider implementing a follow-up project to complement the national climate change adaptation processes. The project should ensure that key issues raised by survey participants which involve: a) establishing a network across and beyond regions to increase South-South knowledge exchange and peer-to-peer learning; b) supporting the update of the NAP-GSP Country Briefing on NAPs to account for latest country progress and successes; and c) strengthening the NAP-GSP's regional training workshops, in terms of time and content including diversifying the NAP-GSP support portfolio by offering more webinars should be addressed.

Recommendation #2: In future follow-up projects or initiatives on climate change adaptation UNEP/ UNDP should adopt a more inclusive approach and expand stakeholder engagement to youth, civil society and the private sector.

1. Introduction

23. This report presents the findings of the terminal evaluation of the Global Environment Facility (GEF) full-sized project (FSP) on "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)". In March 2015, GEF approved this FSP for a period of 36 months. The project under review was funded under the Special Climate Change Fund (SCCF) to establish a Global Support Programme (GSP) to promote medium- to long-term planning for climate change adaptation in non-least-developed countries (non-LDCs) developing countries.

24. The project was implemented in developing countries that are not classified non-LDCs, non-Annex I Parties to the United Nations Framework Convention on Climate Change (UNFCCC) including middle income countries which are impacted by climate change and also happen to contribute significantly to greenhouse gas emissions globally. In total, approximately 96 countries participated in the project covering countries in Africa, Asia, Europe, Latin America and small-island developing states in Pacific and Caribbean. The list of countries that participated in the project is included in Annex 10.

25. The project aligns with UNEP's Medium-Term Strategy (MTS) 2014-2017, through the Ecosystems Management Sub-programme and the Environmental Governance Sub-programme, and with the 2014-2017 Programme of Work (PoW). The project contributes to outcome 1 of UNDP's 2014-2017 Strategic Plan ("Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded").

26. The overall objective of the project was "to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs". The project budget included a total of USD 4,500,000 from SCCF funding: USD 2,250,000 each for administration by UNEP and UNDP

27. The project was implemented from February 2016 to June 2019. The planned mid-term review (MTR) was carried out in July 2018. The MTR provided a set of ten recommendations which suggested two changes to project design and eight to strengthen its implementation. The Agencies agreed with all recommendations but one on project design, suggesting a revised target for outcome 3. The project team rejected the recommendation because its implementation would not be feasible. The team committed to address the agreed recommendations in the next phase of the programme. Information in the MTR is taken into account in the Terminal Evaluation.

28. The Terminal Evaluation was conducted by a team of two consultants between October 2019 and May 2020. The timeline and schedule of the evaluation are provided in Annex 3. The evaluation has two purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNDP, UNEP, GEF, project partners and participating countries. Therefore, the evaluation identified lessons of operational relevance for future project formulation and implementation especially for any additional phases that may be anticipated.

29. The key strategic questions addressed by the evaluation are the following:

- From the perspective of the project beneficiaries, what were the most significant gains achieved from having the project jointly implemented by UNEP and UNDP?

- Access to finance to facilitate moving from adaptation planning to implementation is a major concern raised by most non-LDCs. To what extent has the project succeeded in leveraging (domestic and/or external) funding sources to support the countries in sustaining project Outcomes post closure?
- To what degree of success has the project put in place methods that can assist non-LDCs with monitoring, reporting, and verifying impacts of adaptation interventions?
- At COP-17 Parties agreed that adaptation planning should follow a gender-sensitive, participatory approach, taking into consideration vulnerable groups, communities, and ecosystems. To what extent did the project succeed in mainstreaming Gender, Environmental and Social Safeguards considerations into the NAP process during implementation?

2. Evaluation Methods

30. According to its Terms of Reference, this evaluation has been undertaken primarily as an in-depth desk study. The approach involved both quantitative and qualitative methods to determine project achievements within the context of the outputs, outcomes and impacts expected. Both primary and secondary data were collected and analysed for the preparation of this evaluation. Secondary data were obtained mainly from UNEP and UNDP as well as relevant partners and other organizations. Primary data was gathered through semi-structured interviews. Findings from the inception review further informed the methods used and enabled refinement of the evaluation framework by filling information gaps and helping to identify further data collection needs.

31. While discussions with the project team were informal and focused on information gaps, subsequent interviews during the data collection phase with project stakeholders were primarily semi-structured, based on the evaluation matrix developed during the inception phase. Interviews conducted included UNEP and UNDP project managers and key persons in the project management team, representatives from the Technical Advisory Group, and selected representatives from beneficiary countries. As noted, this evaluation has been conducted mostly as a detailed desk study and no travel was involved. Nevertheless, one team member interviewed in person members of the project team in Bangkok.

32. Since face-to-face interviews with representatives from participating governments were not possible, the evaluation conducted remote interviews using Skype calls to assess how beneficiaries perceived the support received from the project. The respondents interviewed were selected randomly from participants who attended project workshops and had participated in the survey conducted by UNDP at the end of the project to reflect on successes of the GSP and identify areas for further improvement. Only one interview was conducted on a face-to-face basis with the Environmental Protection Agency (EPA) in Accra, Ghana.

33. The Theory of Change (ToC) for this evaluation was developed by the Evaluation Team and presented in the inception report. It was primarily a revision to the ToC which was developed during the development of the UNEP project document. No ToC was included in the UNDP project document. The revisions were based on the UNEP ToC and on analysis of the project results framework.

34. The evaluation assessed (see section 5.4) the likelihood that the project contributed to the desired impact, by combining evidence about project effectiveness (i.e. contribution to direct outcomes), progress on the project objective (i.e. the intermediate state towards impact), validity of assumptions, and presence of drivers. The latter also provided the basis for assessing the likelihood of sustainability and up-scaling of project achievements.

35. In recognition of the fact that it is often impossible to measure and attribute impact (in terms of scale and long-term benefits) as a consequence of the mostly normative nature of the interventions, the assessment of project performance was framed primarily at the outcome level.

2.1 Data collection and analysis methods

36. The revised ToC formed the basis for assessing the extent to which immediate and medium-term outcomes have been achieved. The effectiveness assessment attempted to answer the questions whether, why and how the outcomes have, or have not, been achieved in the various components of the project. The evaluation team has assessed the extent to which outcomes have been achieved and the key factors, both positive and negative, that affected achievement of outcomes. This includes internal issues of intervention design, capacity or resources required to execute certain tasks, as well as factors beyond the control of the project such as extreme events or political conditions.

37. A limited number (5) of phone and personal interviews were conducted with UNDP and UNEP staff. Interviews conducted during the data collection phase were primarily semi-structured, based on the evaluation matrix presented in the inception report, and were conducted with project team members and other stakeholders. Interviewees included: UNEP and UNDP staff and managers, cooperating partners in other UN and non-UN institutions, and national government representatives from ministries and departments. Approximately 57% of the interviewees for this evaluation were female. A detailed list of interviewees is included in Annex 2 to this report. Key staff from agencies in Table 2 Table 1below were interviewed.

38. Other sources of information for the evaluation were primarily half-yearly project reports (UNEP), project financial data including expenditure reports, reports to the project board, end-of-project survey reports, minutes of project Board meetings, project documents, the NAP-GSP web and related portals and an end-of project qualitative assessment survey report prepared by the project.

Table 2. Key agencies interviewed

Institution & Staff	Location
UNDP Project Team	Bangkok Istanbul
UNEP project team	Bangkok
Representatives from participating countries	Armenia Lebanon Ghana Moldova Montenegro
Representatives from project partners: UNITAR, FAO, WHO	Geneva Rome

39. An inception conference call among the project team, the evaluation team, and the evaluation manager was conducted on October 15, 2019. The conference call provided the opportunity for the evaluation team to gain a better understanding of the project and the current status of implementation. It also allowed the evaluation team to discuss the boundaries and limitations of the evaluation and the modalities for accessing project information.

40. In canvassing the views and perspectives of project beneficiaries, the evaluation team was keenly aware of the poor response rate of online surveys to governments after project completion where project participants may have moved on to other assignments. For example, the stocktaking survey of country needs which was launched in March 2016 through an online platform Survey Monkey had by June 2017 (a year and 3 months later) received 57 responses. Given the duration of this evaluation, the team opted for phone interviews of known candidates who had earlier participated in the end-of-project survey and whose phone contacts were readily available. Countries interviewed for this evaluation were selected to ensure that all regions were

represented and that countries that received support during years 1 to 3 were equally represented. UNDP did provide contact details for some (8 out of the 11) countries. Many of those countries that were contacted did not respond and therefore some regions were not represented in the interviews. While the sample was small all the targeted candidates were reached and detailed discussions were possible. The discussions with project participants were documented and shared between the two evaluators.

2.2 Limitations to the evaluation

41. As stated, this evaluation was conducted primarily as a desk study. Since no terminal reports were prepared for the project and none was available for this evaluation, the evaluators relied substantially on the Project Implementation Review (PIR) reports (up to June 2019), reports to the Project Board and stakeholder interviews. The evaluators depended substantially on the reporting to the project Board in 2019 on progress in project implementation to glean information on expenditures for the UNDP component of the project. Initiating a desk review without adequate basic information for a global project of this nature can end up being a time-consuming effort when staff are not readily responsive to information requests.

42. The project team provided contact information for some (73%) of the participating countries requested by the evaluators. Of these countries, only a fraction responded to requests for interviews. As a result, the small sample of participants interviewed by the evaluation team means some of the findings from the interviews may not necessarily be generalizable to all countries. Where feasible, both evaluators participated in phone interviews. In addition, the variability in the levels of preparedness for adaptation planning from region to region and among countries means some of the findings of this evaluation cannot be generalized to apply to all non-LDCs developing countries.

2.3 Ethical considerations

43. In reporting the findings of the interviews and discussions with project participants, care was taken to not attribute comments made by individuals to them by name in the document.

3. The Project

3.1 Context of the Project

44. Climate change and the impacts of climate variability are a constraint to poverty reduction and sustainable development goals in non-LDC developing countries¹. Adaptation is the process of adjustment to actual or expected climate events and its effects, in order to moderate harm or exploit beneficial opportunities. The problem for many non-LDC developing countries is the lack of the requisite coordination mechanisms, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process for mainstreaming climate change into national development planning.

45. In most developing countries, national development priorities are set through sectoral as well as central planning and budgetary processes. Yet, national planning processes have generally not considered climate change risks and opportunities systematically. For this reason, there is an increasing need for systematic efforts to be made to mainstream climate change into national development planning processes in the medium to long-term. In recognition of the fact that adequate institutional structures, knowledge and the technical capacity required for a functional, cross-sectoral process that incorporate climate change adaptation into national development planning is lacking in many developing countries, the NAP process was established under the Cancun Adaptation Framework to provide political and financial support for planning for adaptation to climate change and its impacts at the national level. This process was designed to assist developing countries to identify, finance and implement appropriate measures to address medium- to long-term adaptation needs within relevant sectors. The key barriers that have been identified as constraining effective adaptation planning in developing countries include the following:

- Planning ministries in developing countries rarely have access to well-organized and robust scientific data or evidence-based technical guidelines on managing climate change risks.
- The mandate for addressing climate change often lies within ministries of environment/natural resources rather than ministries of development planning. In addition, planning officials are generally not sensitized on the complex nature of climate change and its associated effects. Consequently, planning ministries do not usually have the required capacity to integrate climate change risks within development planning processes.
- There is often a disconnect between political cycles, planning cycles and the long-term nature of climate change concerns. As a result, climate-resilient development is not considered as national priority and budgetary support to advance adaptation planning and implementation is often not prioritized.
- Few collaborative partnerships relating to adaptation needs exist currently between developing country governments and global/regional institutions, networks and platforms.

¹ In the context of this project, the term 'non-LDCs' is used to refer to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC. These countries are not a specific grouping under the UNFCCC parties, rather they are eligible for SCCF resources hence eligible to receive support from this project

In order to help countries overcome these barriers, a Global Support Programme (GSP) was established using SCCF resources to promote improved adaptation planning at the national level. The GSP-NAP process was designed to build on on-going national processes related to adaptation planning. This project had joint activities with an LDC project, which was being implemented simultaneously. Indeed, this project was built on the 1st phase of the LDC project.

3.2 Results Framework

46. The specific objective of the project was to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs. The SCCF-funded project supported targeted countries to advance their NAP processes by strengthening institutional and technical capacities as well as increasing access to the sharing of knowledge and lessons on adaptation planning through improved North-South and South-South collaboration. The project had three key components namely: i) institutional support; ii) technical capacity-building; and iii) knowledge brokerage. Support was provided to all non-LDC developing countries upon request and was flexible enough to be tailored to each country's needs and national circumstances. The project intended to address the stated objective using the three approaches (components) presented below:

Table 3. Summary of project components

Outcomes	Outputs
Component 1: Institutional support to develop national level roadmaps (UNDP)	
1. Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	Information and processes that are of relevance to the NAP in the country are taken stock of and key gaps to integrate climate change into medium to long-term planning processes are identified Institutional coordination and financial arrangements are strengthened/established to support NAP process NAP roadmaps are developed to advance the NAP process, including elements for monitoring the process of their implementation
Component 2: Training on relevant tools and methods to support effective climate planning (UNEP)	
2. Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries	Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organizations National technicians trained through sub-regional workshops in the use of tools and methods to advance the national process including budgeting for medium to long-term adaptation Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes
Component 3: Knowledge dissemination to enhance national and international cooperation (UNEP and UNDP)	
3. Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process	Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (Overseen by UNEP). South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP)

Source : Project document, UNEP, pp. 60-61.

47. Component one of the project involved stocktaking of information sources relevant to the NAP in the various countries and the identification of key gaps. The component also sought to strengthen institutional coordination mechanisms and develop roadmaps for preparing the NAPs and assisting countries develop elements for monitoring the NAP processes in the project countries. Component two was designed to support these activities through regional training in the relevant subject areas identified from the gap analysis and the issues identified during stakeholder consultations conducted by the project. Component three, on knowledge management, promoted South-South and North-South cooperation and disseminated information relevant to NAP processes in non-LCD developing countries.

3.3 Stakeholders

48. The project was global in scope with the participation of approximately one hundred countries all of whom are Parties to the United Nations Framework Convention on Climate Change (UNFCCC).

49. Stakeholders broadly defined are all those who are affected by, or who could affect (positively or negatively) the project's results. The result of a stakeholder analysis based on the Stakeholder Analysis Template provided by UNEP Evaluation Office is presented in Table 4, below. Besides identifying their relative influence on the achievement of outcomes, stakeholder analyses also assisted in identifying which stakeholder groups would serve as key informants in conducting this evaluation.

50. Key stakeholders in the non-LDCs NAPs project are mainly UNDP and UNEP as Implementing Agencies. Other organizations participating in the project as responsible parties and collaborative partners include: FAO, GIZ, GWP, UNDRR, UNITAR, and WHO, in-country missions, bi-lateral organizations, GEF Focal Points, and regional organizations. The organizations, as well as the individuals, representing these organizations are of tremendous importance to the delivery of project results. They bring to the effort experience working jointly on international development interventions, financing for project implementation and the interest in seeing the project succeed because their mandates and responsibilities demand that they develop and implement such initiatives.

51. Other key stakeholders include: National Ministries and other government departments (e.g. Finance and Planning and Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry). The government ministries and the individuals in these institutions operate at the level where they have the ability to influence policy and legislation and, indeed, the execution of project activities through inter-ministerial dialogue. Individuals in these agencies participated in training activities and were involved in developing NAP roadmaps to advance the NAP processes.

Table 4. Stakeholder Analysis

Stakeholders	Explain the power they hold over the project results/ implementation and the level of interest	Did they participate in the project design, and how.	Potential roles & responsibilities in project implementation	Changes in their behaviour expected through the implementation of the project	Means of Engagement
Type A: High power / high interest = Key player					
UNDP and UNEP as IA, other organisations participating in the project as responsible parties and collaborative partners such as IFAD, FAO, WHO FAO, IFAD, GIZ, GWP, UNDRR, UNITAR, and WHO, in-country missions, bi-lateral organizations, GEF Focal Points, the Project Board, regional organizations.	The organizations, as well as the individuals, representing these organizations are of tremendous importance to the delivery of project results. They bring to the effort experience working jointly on international development interventions, financing for project implementation and the interest in seeing the project succeed because their mandates and responsibilities demand that they develop and implement such initiatives.	Consultations with country representatives and development partners were sought through major climate change-related events, as well as Adaptation Committee meetings, in particular. In addition, existing networks and in-country missions were used to conduct additional consultations with non-LDCs on country needs, experiences and progress related to the NAP process. As a result, the project design benefits from feedback collected from country representatives across multiple regions.	Revitalise national teams to lead the NAP process and identify key stakeholders. Stocktaking of on-going and completed initiatives of relevance to the NAP process. Conduct stakeholder consultations, including national CSOs, to identify expectations for advancing medium- to long-term planning for adaptation. Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities. Document the results of various stakeholder consultations.	Collaborate effectively to deliver program activities	Face-to-face and/or telephone (Skype) interviews.

Stakeholders	Explain the power they hold over the project results/ implementation and the level of interest	Did they participate in the project design, and how.	Potential roles & responsibilities in project implementation	Changes in their behaviour expected through the implementation of the project	Means of Engagement
Type B: High power/ low interest over the project =Meet their needs					
National Ministries and other government departments (e.g. Finance and Planning and Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).	Power is derived from the fact that individuals in these institutions operate at the level where they have the ability to influence policy and legislation and indeed the execution of project activities through inter-ministerial dialogue. Interests, however, may be diffused because of the number of other competing national interest and constraint of resources.	Limited participation through consultations with the international agencies that were responsible for project development.	Ensure that related policy documents, strategies and action plans are adopted. Facilitate inter-ministerial dialogue during the planning process Using tools provided, initiate actions to develop planning frameworks and preparing adaptation plans	Improved leadership and ownership of the national planning processes that incorporate climate change adaptation concerns Improved inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP. Enhanced knowledge of needs as a basis for adaptation planning. Strengthened leadership (especially in finance and planning) on medium- to long-term adaptation planning. Identify key institutions relevant to the NAP process	Phone (Skype) interviews with representatives of key ministries relevant to the planning process.

3.4 Project Implementation Structure and Partners

52. The project was jointly implemented by the United Nations Environment Programme (UNEP) and United Nations Development Programme (UNDP), both GEF Implementing Agencies (IAs). Specifically, two similar but separate project documents were developed to describe what each agency would be responsible for within a common results framework. UNDP had responsibility for implementing outcome 1; UNEP had responsibility for implementing outcome 2; and both agencies shared the responsibility for implementing outcome 3. UNDP-GEF provided financial and technical oversight services for the UNDP-implemented outcomes and outputs of the project. UNDP was expected to ensure that project monitoring and evaluation ran according to the agreed schedule, and in line with UNDP and GEF requirements. Similarly, UNEP was expected to provide technical oversight services for the UNEP-implemented outcomes and outputs of the project, including management of its financial resources and the tracking of indicators

53. The close collaboration between UNDP and UNEP ensured linkages to other related projects, which were either under development or commencing activities during the implementation of this SCCF-supported project. UNDP's activities were executed by means of its Direct Implementation Modality (DIM). A Lead Technical Specialist at UNDP's Bangkok Regional Hub (BRH) was responsible for overseeing the overall UNDP NAP portfolio. UNEP's activities were implemented under the responsibility of the Ecosystems Division at Headquarters and overseen by a UNEP GEF Task Manager at the Regional Office for Asia and the Pacific (ROAP). A Technical Specialist at ROAP was appointed project manager and tasked with the day-to-day execution of the activities under UNEP's responsibility

54. A Project Board was established as the strategic decision-making body of the project, and was comprised of representatives from UNDP, UNEP and the GEF Secretariat. The Board was co-chaired by the two Implementing Agencies and was responsible for providing overall guidance and direction to the project. It also had responsibility for making decisions on a consensus basis when strategic guidance was required. It approved major revisions to project strategy and approach. The Board reviewed annual work plans and progress in project implementation at regular intervals,

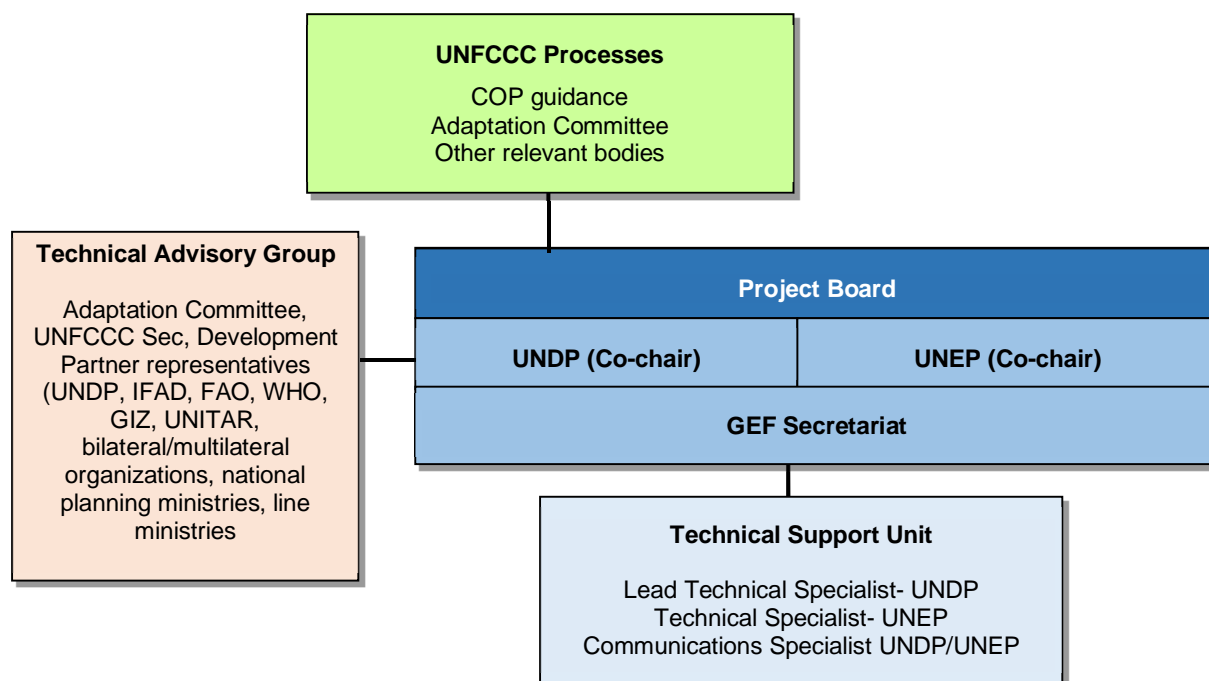
55. A Technical Advisory Group was established to provide guidance on the technical aspects of project implementation. The Advisory Group was co-convened with the NAP GSP for LDCs. Specifically, its functions included the review of the annual work plans for endorsement by the Project Board. The Technical Advisory Group comprised of representatives from the Adaptation Committee, the UNFCCC Secretariat and development partners engaged in activities to support the NAP process in countries. These partners included: UNITAR, GiZ, FAO, and WHO. UNITAR assumed responsibility for the delivery of project outputs based on agreed Terms of Reference.

56. A Technical Support Unit was set up to provide technical support in the delivery of the project's objective and outcomes. The unit comprised of: Lead Technical Specialist (UNDP), Technical Specialists (UNEP), and a part-time Portfolio Analyst (UNDP). Additional technical expertise, communication and logistical support were contracted on a consultancy basis.

57. National partners included relevant planning ministries (e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).

58. The decision-making system for the project is presented below in Figure 1, below.

Figure 1. Decision-making and organizational chart (Source: Project Document)



3.5 Changes in design during implementation

59. No specific modifications were made to project design prior to implementation. During project implementation, agencies such as International Institute of Sustainable Development (IISD) and UN-Habitat, which were not originally listed as stakeholders, became involved and participated in the Technical Advisory Group. The planned MTR of the project, initially scheduled for mid-2017, was delayed but completed in July 2018. One key amendment was made in UNEP during project implementation that extended the project duration to June 2019. This no-cost extension was based on the Cooperation Agreement number ICA/GEF/2015/009 signed in September 2015 between the Ecosystems Division and the Regional Office for Asia and the Pacific. The purpose was to extend the duration of the agreement for four months based on the Project Board Decision on February 2, 2018 to extend the project duration in order to conduct more training activities where resources were available. The implication of this is that, while the project was officially coming to a close in February 2019, project activities were continuing through June 2019. The total cost to the GEF however remained unchanged.

3.6 Project Financing

60. This project received direct funding from the SCCF totalling USD 4,500,000; USD 2,250,000 for administration by UNEP and USD 2,250,000 for administration by UNDP. Table

5 below, shows the breakdown of the project's cost for each project component (based on the data in the Project Document of March 2015).

Table 5. Project estimated budget by Outcome

SCCF funding	UNDP [USD]	UNEP [USD]	Total [USD]
Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP)	1,388,889		1,388,889
Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).		1,896,992	1,896,992
Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).	674,444	206,342	880,786
Project management costs	186,667	146,666	333,333
Total	2,250,000	2,250,000	4,500,000

Source: Adapted from Project Document

61. In addition, co-financing contributions estimated at USD 41,800,000 were to be provided through various grants (see Table 6), bringing the overall project budget to USD 46,300,000 for a planned duration of 36 months. The extent to which co-funding resources were realized is discussed in section 5.5 of this report

Table 6. Project co-financing initiatives

Co-financing Initiative	Type of co-financing	Amount [USD]
UNDP – Low-Emission Capacity-Building (LECB) Programme	Grant	15,000,000
UNDP – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)	Grant	8,000,000
UNDP – Japan-Caribbean Climate Change Partnership	Grant	15,000,000
UNITAR – One UN Climate Change Learning Partnership (UN CC-Learn)	Grant	3,000,000
UNEP – Global Adaptation Network, Asia-Pacific Adaptation Network, REGATTA, WARN-CC	Grant	800,000
Total		41,800,000

4. Theory of Change

62. The UNEP project document elaborates in Annex 19 on some aspects of the project's theory of change (ToC). The annex addresses the project's strategy separately for each component, but the diagrams provided are not accompanied by a narrative. UNDP's project document did not include a discussion of the project's ToC. The MTR assessed the quality of project design and the suitability of indicators and targets in the project results framework. However, the MTR did not discuss the project's ToC and made no attempt at reconstructing it. For the purpose of this Terminal Evaluation, the ToC is revised based on the description in UNEP's project document and the Project Results Framework (PRF). The PRF, as presented in the Project Document, is reproduced in Annex 4 of this report.

63. The project's objective to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs was supported on three pillars: (i) institutional support, (ii) technical capacity-building, and (iii) knowledge brokerage. Each of these dimensions was implemented through one of three project components. Overall, the project's structure follows the design of the previous project on "Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)" (GEF ID 5320), which was also supported by GEF and implemented jointly by UNDP and UNEP.

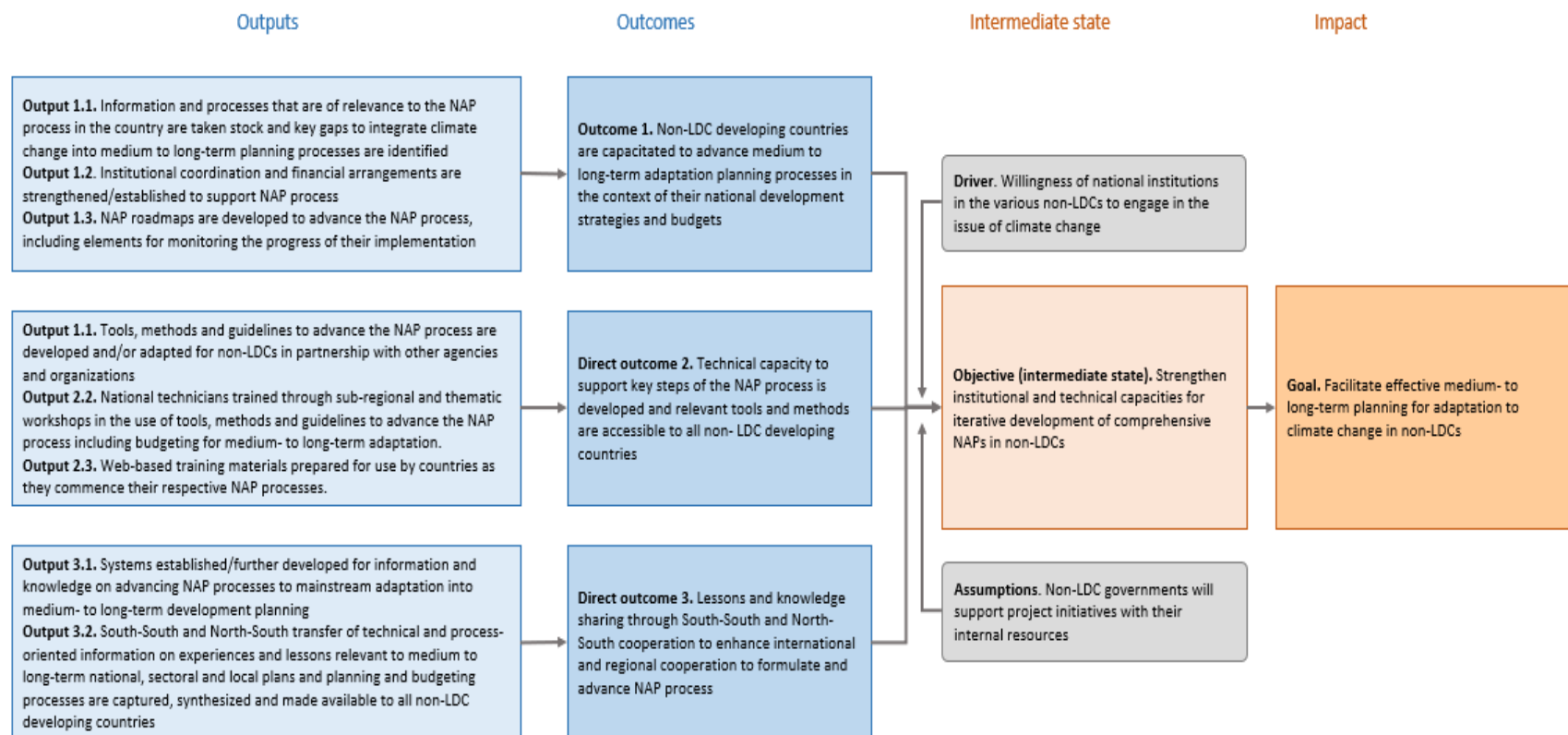
64. The project's strategy included three causal pathways that converged to build the capacities of non-LDC developing countries to plan for climate change adaptation. The first causal pathway, pursued under component one, built the institutional capacities of non-LDC developing countries to implement the planning processes that are required for the elaboration of NAPs. This pathway focused on the identification and engagement of key stakeholders and on improving institutional coordination to support NAP processes. This pathway led to a direct outcome that in the project document is defined as "non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets".

65. The second causal pathway, under component two, built the technical capacities of individual stakeholders, providing training and training materials to technical staff from key government agencies and organizations. Training materials were made available online. The proposed direct outcome under this pathway was defined as "technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries".

66. The third causal pathway, executed under component three, focused on promoting South-South and North-South cooperation and facilitating access to knowledge to support the countries' efforts on adaptation planning. The direct outcome from this pathway was defined as "lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process".

67. The presentation of the ToC in Annex 19 of UNEP's Project Document included some drivers and assumptions, but others were missing. The ToC, as presented in the project document, is shown in Figure 2.

Figure 2. Theory of change according to project document²



² **Outputs:** An output is the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions. For example, access by the intended user to a report; new knowledge held by a workshop participant at the end of a training event; heightened awareness of a serious risk among targeted decision-makers. (Outputs are viewed from the perspective of the intended beneficiary or user of the output rather than the provider). **Outcomes:** An outcome is the use (i.e., uptake, adoption, application) of an output by intended beneficiaries, observed as a change in institutions or behaviors, attitudes or conditions. **Direct Outcomes:** A direct outcome is an outcome that is intended to be achieved from the uptake of outputs and occurring prior to the achievement of Project Outcome(s). **Intermediate State:** Intermediate states are changes (i.e. changes at the outcome level) beyond the Project Outcome(s) that are required to contribute towards the achievement of the intended impact of a project.

68. A few adjustments to the PRF as defined in the project document were made to facilitate the evaluation of the project, including: (i) the definition of the first direct outcome has been made clearer, to characterize the focus placed on strengthening institutional and financial capacities, and to avoid overlapping the definition of the second direct outcome and the project's intermediate state (objective); (ii) output 1.2 under component 1 is formulated as an outcome and thus has been adjusted to reflect the scope of the deliverables produced by the project; and (iii) partnerships with key institutions (e.g. UNITAR, FAO, etc.) were important drivers supporting the project's actions and have been made explicit. The changes to the PRF are presented in Table 7, below, and the revised ToC is shown in Figure 3 overleaf.

69. Figure 3 presents the revised ToC of the project based on the actual results statements in the project document which have been "broken up" or consolidated and re-arranged to better conform to the general understanding and definitions of the different results levels and to show the theoretical cause-effect relationships.

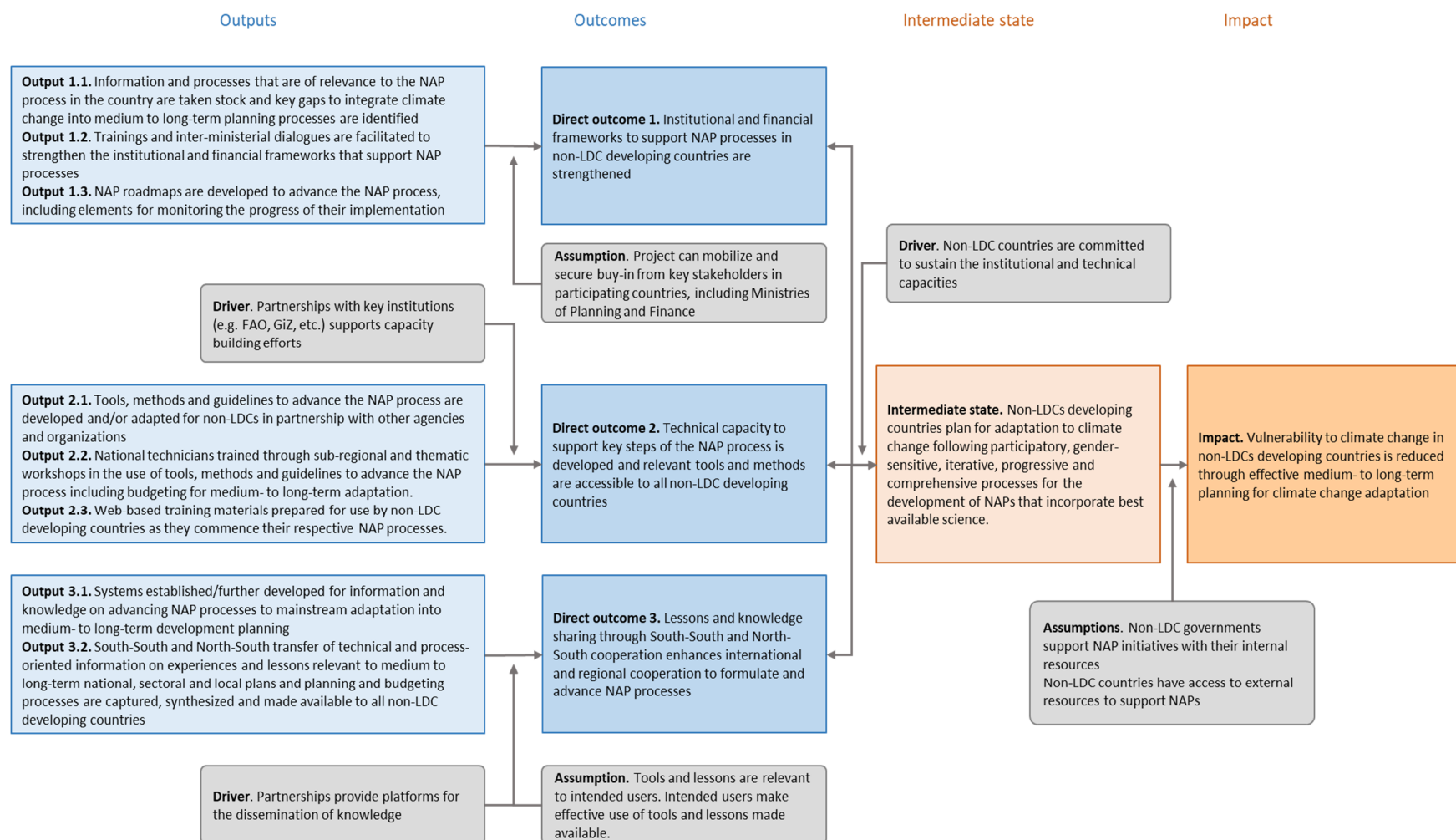
Table 7. Proposed changes to the definitions in the project results framework and justification

Result	Description in the Project Document	Description in the reconstructed TOC	Justification for changes made
Goal/ Impact	Facilitate effective medium- to long-term planning for adaptation to climate change in non-LDCs.	Vulnerability to climate change in non-LDCs developing countries is reduced through effective medium- to long-term planning for climate change adaptation.	The impact of the project is related to the global and local benefits of reduced vulnerability to climate change in non-LDC developing countries. These benefits will be delivered if the project's actions can lead to effective climate change adaptation planning in this group of countries.
Objective	Strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.	Intermediate State Non-LDCs developing countries plan for adaptation to climate change following participatory, gender-sensitive, iterative, progressive and comprehensive processes for the development of NAPs that incorporate best available science.	Objective adjusted to reflect the intended change to the intermediate state and to insert the desired characteristics of the NAP processes supported by the project.
Outcomes	1. Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	1. Institutional and financial frameworks to support NAP processes in non-LDC developing countries are strengthened.	Outcome adjusted to reflect the emphasis on strengthening institutional and financial frameworks and to avoid overlap with the definitions of the project's objective and outcome 2.
	2. Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries.	2. Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries.	No recommended changes.

Result	Description in the Project Document	Description in the reconstructed TOC	Justification for changes made
	3. Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.	3. Lessons and knowledge sharing through South-South and North-South cooperation enhances international and regional cooperation to formulate and advance NAP processes.	Minor editorial change since there are many NAP processes (each country has its own process).
Outputs	1.1. Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.	1.1. Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.	No recommended changes.
	1.2. Institutional coordination and financial arrangements are strengthened/ established to support NAP process.	1.2. Trainings and inter-ministerial dialogues are facilitated to strengthen the institutional and financial frameworks that support NAP processes.	Output is reformulated to reflect the scope of the intended deliverables.
	1.3. NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.	1.3. NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.	No recommended changes.
	2.1. Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	2.1. Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	No recommended changes.
	2.2. National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium- to long-term adaptation.	2.2. National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium- to long-term adaptation.	No recommended changes.
	2.3. Web-based training materials prepared for use by countries as they commence their respective NAP processes.	2.3. Web-based training materials prepared for use by non-LDC developing countries as they advance their respective NAP processes.	Minor editorial changes to specify the type of countries that are the intended audience of the training materials and the fact that some countries may have already commenced their NAP processes.
	3.1. Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into	3.1. Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into	No recommended changes.

Result	Description in the Project Document	Description in the reconstructed TOC	Justification for changes made
	medium- to long-term development planning.	medium- to long-term development planning.	
	3.2. South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries.	3.2. South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries.	No recommended changes.

Figure 3. Revised Theory of Change at Evaluation



4.1 Causal Pathway from Outputs to Direct Outcomes

70. The revised ToC shows how this project is centred on strengthening institutional and technical capacities on different dimensions: institutional support to develop national level roadmaps; training on relevant tools and methods to support effective climate planning; and knowledge dissemination to enhance national and international cooperation. These are the direct outcomes expected against which project effectiveness has been assessed. These three direct outcomes were closely interrelated and results under one outcome contributed to the achievement of the others. Direct outcomes were expected to be achieved through a diverse set of outputs. These are presented on the far-left side of the ToC diagram, grouped along the direct outcomes they are expected to contribute to. It is often the case that firm evidence of the achievement of direct outcomes is scarce soon after project implementation, therefore, the effectiveness evaluation will partly rely on an assessment of the relevance, quality and timeliness of outputs delivered by the project.

71. As stated, the project objective was to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs. The strengthened institutional and technical capacities were expected to facilitate effective medium- to long-term planning for adaptation to climate change in non-LDCs. The project objective, therefore, is an intermediate state towards a desired state, which is that participating governments have adequately planned for and are able to adapt to the effects of climate change.

72. For changes to happen along the causal chain from outputs to outcomes a number of external conditions need to be met or external factors need to be present. Key assumptions made by the project (over which the project has no influence) are that the project can mobilize and support buy-in from key stakeholders such as governments, bilateral organizations, NGOs, etc. Another assumption is that the users of the tools and lessons produced find them relevant and make use of them. Key drivers to move project outputs along the pathway to outcomes include: the fact that partnerships with institutions such as UNITAR, FAO, GiZ, etc. will support capacity building activities, and also that partnerships will provide the required platform to document knowledge.

4.2 Causal pathway from Direct Outcomes to Impact

73. The three direct outcomes, (which include: institutional and financial frameworks to support the NAP processes; technical capacity and tools to support the NAP processes; and lessons and knowledge sharing to enhance international cooperation) contribute to enable non-LDC countries to adequately plan for and adapt to the effects of climate change with the ultimate goal of reducing vulnerability to climate change. This was predicated on the assumption that non-LDCs will support the NAP process and training initiatives with their internal resources and/or are able to gain access to external resources to support their NAP processes. The key driver is that non-LDCs are committed to sustaining technical and institutional capacity and will engage around the issue of climate change.

5. Evaluation Findings

5.1 Strategic Relevance

74. The project explicitly addressed UNEP’s strategic objectives as spelt out in the objective of Subprogramme 1 of the 2014-2015 UNEP Programme of Work designed “to strengthen the ability of countries to move towards climate-resilient and low emission pathways for sustainable development and human well-being”, by supporting non-LDC developing countries to integrate planning for climate change adaptation into national development processes. It also addressed its convening power as well as its continuing successful collaboration with UNDP. UNEP has experience in implementing adaptation projects (over 80) at global, regional and national levels and, therefore, possesses the requisite skills and expertise in adaptation planning. UNEP’s projects often focus on aspects related to: i) methods and tools to support decision making; ii) addressing barriers to implementation; iii) testing and demonstrating proposed solutions; and iv) enhancing climate resilience by restoring valuable ecosystems that are vulnerable to climate change.

75. The project also contributed to outcome 1 of UNDP’s Strategic Plan of 2014-2017: (“Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded”). This project is part of UNDP’s climate change adaptation programme. The programme has an active portfolio of over USD 800 million, through funding from the LDCF, SCCF, the Adaptation Fund and bilateral donors.

76. UNDP and UNEP have a successful history of collaboration and the agencies had worked together on implementation of the related projects on “Assisting least developed countries with country-driven processes to advance National Adaptation Plans” and “Building capacity for LDCs to participate effectively in intergovernmental climate change processes”.

77. The project is aligned to GEF’s climate change focal area, under the focal area objectives CCA-2 “Strengthen institutional and technical capacities for effective climate change adaptation”; and CCA-3 “Integrate climate change adaptation into relevant policies, plans and associated processes”.

78. At the global and national levels, the project is consistent with the needs of non-LDCs, in the context of planning for medium to long-term adaptation activities for advancing NAPs. These needs were expressed during submission of collective views of non-LDCs³ in response to invitations from UNFCCC decisions at COP16⁴ and COP17⁵, as well as in a series of consultations between UNDP/UNEP and representatives of non-LDCs. This is clearly addressed in Section 3.6 of UNEP’s project document, while regional linkages are described in Section 2.7.

79. The project is consistent with the Sustainable Development (SDGs). The following goals are the most relevant: Goal 13 and in particular targets 13.2 related to the integration of climate change measures into national policies, strategies and planning and target 13.3 which call for

³ UNFCCC/SBI/2014/L.19

⁴ Decision 1/CP.16

⁵ Decision 5/CP.17

improvement in education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning relevant.

80. The project is consistent with the Hyogo Framework for Action (HFA) 2005-2015, a 10-year plan of prioritized actions to reduce the threat and impact of natural hazards associated with climate change. The framework describes five priority actions and provides practical guiding frameworks for member states to coordinate the multiple sectors involved in planning for and responding to disaster risks and increasing resilience to natural disasters. The project is also in line with the United Nations Convention to Combat Desertification (UNCCD) and the Convention on Biological Diversity (CBD).

81. While not explicitly stated, the project is consistent with, and has strong linkages to the Bali Strategic Plan and South-South and North-South knowledge sharing was discussed within the context of project implementation. Output 2.2.1 for example was designed to establish thematic/sub-regional working groups across non-LDCs to exchange experiences and promote South-South cooperation. Through the implementation of this activity, national staff from key ministries received technical training on the application of tools, methods, and guidelines to guide key steps in the NAP process. Training was undertaken through sub-regional and thematic workshops as specified by participating non-LDCs as well as through online platforms. Working groups were established to provide on-going technical support and collective learning through South-South cooperation. Output 3.2 further involved the capture and synthesis of South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes which was made available to all non-LDC developing countries

82. The overall rating for strategic relevance is **Highly Satisfactory (HS)**.

5.2 Quality of Project Design

83. An assessment of the initial design of the project was undertaken as part of the inception phase. It helped to refine the questions and issues defined in the evaluation matrix and the revised ToC (see section 4) for the project by identifying causal links, assumptions and drivers. Where substantive and significant weaknesses were apparent at the project design stage, these may either be potential areas for further questioning, may have stimulated adaptive management or may have limited the overall effectiveness of the intervention. Key sources of information for project design quality assessment included the approved project document, the Project Review Committee (PRC) review sheet, the GEF Project Review Sheets and the PRF.

84. The project document presented a clear description of the existing situation with respect to the problem of climate change. The disparate planning processes existing in the various countries were adequately described. Opportunities and constraints to project implementation were identified and documented in the project document. Stakeholders were identified at both the national and international levels and their roles in relation to the project and potential contributions to the project described. Baselines, outcomes, outputs, indicators, targets and assumptions defined in the PRF provided a good means by which the monitoring of project implementation would be undertaken.

85. Section 5 of UNEP's project document identified key stakeholders and presented a description of their respective roles and responsibilities in project implementation. In addition to UNDP and UNEP, other organizations participated in the project as collaborating partners, including FAO, GiZ, GWP and UNITAR. National partners included relevant planning ministries

(e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).

86. The UNDP project document and the UNEP documents were derived from the same basic document which described the existing situation, analysed the problem to be addressed and options for a long-term solution. Like the UNEP project document, barriers to achieving long-term solutions to the climate-induced problems were discussed. The documents which were based on country consultations outlined strategies to achieving the objectives of the project and discussed alignment of the project to the global and regional policy frameworks. As discussed above stakeholders were identified at both the national and international levels. The respective roles of various stakeholders and their contributions were discussed in the UNDP project document as well.

87. As discussed above, baselines, outcomes, outputs, indicators, targets and assumptions defined in the Project Results Framework formed the basis for monitoring project implementation.

88. The project clearly described the links to on-going baseline initiatives which formed the basis for implementation of the UNDP component.

89. The outcome indicators formulated in the Project Results Framework were set at lower results levels than outcomes. For example, the indicator for the outcome in component 1 "Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets" which reads "Number of non-LDCs receiving tailored support to advance their NAP" with a target of 20 countries seems to be set at the lower results level than the outcome level. Such an indicator is not enough to monitor and track progress in a meaningful way towards intermediate states and onwards to impact. Indeed, that indicator should already be measuring the extent to which the institutional and financial frameworks have been strengthened instead of a tally of the number of countries that received support. This issue was also raised in the MTR when they stated that some of the indicators used by the project to measure targets were means-based rather than results-based. Additionally, the PRF has no indicators at lower results levels, more notably at the output level.

90. The project planned to engage relevant CSOs and NGOs in project decision-making by conducting stakeholder consultations to identify expectations for advancing medium to long-term planning for adaptation.

91. Noticeably absent among the various stakeholder groups, were entities from the private sector and indigenous groups. There were only general statements made in the project document about those categories of stakeholders benefitting from training and additional institutional support. In addition, the project proposed to undertake extensive consultations with a diverse range of stakeholders in each of the participating countries. A pilot platform for public-private partnerships on adaptation finance was proposed.

92. The issue of gender was addressed quite comprehensively in the UNEP project document. Section 3.1 of the UNEP project document discussed in some detail gender consideration in project design. Gender-disaggregated indicators and targets were included in the results framework of the project at the PPG phase. The output-level indicator for output 2.2 proposed at least 30% female technician participation in training activities. This was the only gender-disaggregated indicator found in the PRF. While the indicator was not SMART, it was sufficient for output level reporting. However, there was no discussion on participation of indigenous people. The UNDP project document also had a fairly detailed discussion of gender.

The project’s response to the issue of human rights is to foster alignment with national policies, strategies and priorities in participating non-LDCs. No specific actions were indicated.

93. Linkages to GEF Strategic Objectives and other non-GEF interventions were indicated in both the UNEP and UNDP project documents. However, the UNEP project document made no reference to linkages to the Bali Strategic Plan which is a UNEP policy framework related to south-south cooperation. While this is the case, the project by definition and design involves South-South and North-South knowledge sharing within the context of project implementation, but it was not presented as a strategic imperative.

94. Several sections of the project documents clearly described project outputs, desired outcomes, and key assumptions in the PRF; however, no descriptive analysis of the ToC itself was presented in the UNEP project document. This would have included the nature and scope of the changes to which the project is expected to contribute; cause-effect relationships between outputs delivered by the project and expected higher-level changes (also called results chains or causal pathways); external factors and conditions that would allow the project to achieve the expected higher-level changes, external conditions over which the project has no influence or control; and external factors that the project can influence with specific activities or outputs were stated but not explained. Apparently TOCs were not required in UNDP project documents and none was provided.

95. In the UNEP document, some of the higher-level-result indicators seemed to be reasonably well formulated. Others were formulated at the output level, e.g. outcome 2 indicator “Number of non-LDCs with increased technical capacity to support key steps in NAP process” should have already reflected and measured the demonstration of the capacity built as a higher-level result.

96. While there were issues associated with the formulation of some of the elements of the PRF (see section 4), as well as human rights and indigenous people, in general, the project was reasonably well designed.

97. The rating of project design quality is **Moderately Satisfactory (MS)**.

5.3 Nature of External Context

98. The external context of the project was favourable. While the large number of countries involved in this project spanning different regions suggests the potential for conflict in particular locations and regions, no mention is made of any conflict or likelihood of conflict in the targeted project countries. Natural disasters were discussed within the context of operational challenges. Given the large number of countries involved in the project, risk factors such as hurricanes, flooding, drought wildfires, etc., also constitute potential challenges as they can destroy infrastructure and claim lives and could set project implementation back significantly. Yet, the project reports do not indicate any adverse impact from natural disasters. Neither were political changes, including elections and changes in government, discussed as having impacted project operations.

99. The external context is rated as **Favourable (F)**

5.4 Effectiveness

5.4.1 Delivery of outputs

100. The evaluation of the achievement of results at the output level is based on the PRF and the revised ToC developed for this project. A review of the results framework shows that all activities and outputs were necessary and appropriate and, taken together, formed a series of logical, sequential steps which will potentially lead to the achievement of the project outcomes and objectives.

101. The evaluation finds that, at the end of project implementation, the key indicators of project performance at the output level have been fulfilled. This section presents a detailed description of the outputs delivered under each project component, as defined in the revised ToC (Table 8, section 4. above).

Outcome 1. Institutional and financial frameworks to support NAP processes in non-LDC developing countries are strengthened:

102. **Output 1.1.** Information and processes that are of relevance to the NAP process in the country are taken stock of and key gaps to integrate climate change into medium to long-term planning processes are identified.

103. According to project reports, a total of 34 stocktaking exercises were completed in participating non-LDCs⁶. In comparison, the target under the PRF required the project to provide support to a total 20 countries. Nine of these stocktaking reports were provided to the evaluation team: Armenia, Côte d'Ivoire, Ecuador, Georgia, Indonesia, Kazakhstan, Lebanon, Serbia, and Uzbekistan. In most cases, stocktaking reports included an overview of the climate change context and vulnerability in the country, described the national policy and institutional climate change set-up, identified key stakeholders, listed on-going climate change adaptation initiatives and provided a short assessment of capacity development needs. A majority of the available reports, mainly those for countries in Eastern Europe and Central Asia, also included elements of proposed roadmaps for the advancement of the NAP process. The level of detail and quality of the reports varies but, overall, the stocktaking reports are consistent and seem adequate. During interviews with representatives from participating countries (i.e. Armenia, Montenegro, and Lebanon), interviewees confirmed that the stocktaking exercises had been completed in their countries and that the exercises contributed to advance the NAP processes in their countries. The representative from one country indicated that the timing of the stocktaking exercise was not optimal, since relevant information and capacities that were relevant for the exercise were not readily available in the country at the time.

104. **Output 1.2.** Trainings and inter-ministerial dialogues are facilitated to strengthen the institutional and financial frameworks that support NAP processes.

105. The project reported activities on supporting consultations, dialogues and capacity building in 33 non-LDCs⁷, which again exceed the target of 20 countries set in the project document. Most activities reported under output 1.2 are related to stakeholders' consultations connected to stocktaking exercises (output 1.1.) and to the elaboration of roadmaps for NAP processes (output 1.2.). Therefore, most results from country dialogues and stakeholders'

⁶ Algeria, Argentina, Armenia, Azerbaijan, Bosnia and Herzegovina, Colombia, Côte d'Ivoire, Ecuador, Egypt, Georgia, Ghana, Indonesia, Kazakhstan, Kenya, Kyrgyz Republic, Lebanon, Macedonia, Moldova, Montenegro, Morocco, Palestine, Papua New Guinea, Peru, Philippines, Serbia, South Africa, Tajikistan, Thailand, Tonga, Tunisia, Turkmenistan, Uruguay, Uzbekistan, and Viet Nam.

⁷ Algeria, Armenia, Azerbaijan, Bosnia and Herzegovina, Colombia, Côte d'Ivoire, Ecuador, Egypt, Georgia, Ghana, Indonesia, Kazakhstan, Kenya, Kyrgyz Republic, Lebanon, Macedonia, Moldova, Montenegro, Morocco, Palestine, Papua New Guinea, Peru, Serbia, South Africa, Tajikistan, Thailand, Tonga, Tunisia, Turkmenistan, Uruguay, Uzbekistan, Viet Nam and Zimbabwe

consultations, reported under this output, were incorporated into stocktaking reports and NAP roadmaps. In a few cases (e.g. Ghana and Tonga), activities under output 1.2 included in-country trainings on topics relevant to the NAP process, especially trainings on the economics of climate change adaptation (e.g. cost-benefit analysis (CBA) techniques to assess climate change adaptation options). An interview with representatives from Ghana confirmed that the training on CBA techniques for climate change adaptation provided by the project had been useful. Activity 1.2.3 on the creation of a training programme on the economics of climate change adaptation at local universities or at the United Nations University (page 25 of UNDP’s ProDoc) was not pursued by the project. The evaluation interviews could not clarify specifically why this training programme was not pursued. However, as indicated above, the topic of economics of climate change adaptation was included in trainings to project participants and activities on one-on-one support to beneficiary countries also included in some cases products related to the economic assessment of climate change adaptation.

106. **Output 1.3.** NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.

107. The project reported activities to elaborate (preliminary) roadmaps for the NAP process in 30 non-LDCs⁸. Only the roadmaps included in stocktaking exercises in Armenia, Kazakhstan, Serbia, and Uzbekistan were available for review. The four roadmaps follow a similar structure and contents that are based on the elements and activities proposed in the technical guidelines for national adaptation plan processes produced by the UNFCCC’s Least Developed Countries Expert Group (LEG). Interviews with country representatives (i.e. Armenia and Montenegro) confirmed that the (preliminary) roadmaps were useful to plan and advance their NAP processes.

Outcome 2. Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries:

108. **Output 2.1.** Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.

109. The training materials developed under output 2.1 were defined following the prioritization of needs conducted in consultation with eligible countries and project partners. Ultimately, the project completed three training products on climate change adaptation: (i) climate change adaptation in the water sector, (ii) appraisal and prioritization of climate change adaptation measures, and (iii) climate finance. The training materials were developed primarily by UNITAR under an agreement with UNEP. The materials received input from other project partners, including the World Meteorological Organization (WMO) and the Global Water Partnership (GWP). The training products consisted of computer-based tutorials (e-tutorials) and training materials delivered during in-person training sessions. The training materials were adjusted and improved after delivering in-person training sessions. UNITAR indicated that the project could have benefitted from an improved design of capacity building activities. While capacity building activities by the project were strong on technical content, they often did not incorporate adequate learning techniques and may have been less effective. For instance,

⁸ Algeria, Armenia, Bosnia and Herzegovina, Cameroon, Colombia, Côte d’Ivoire, Ecuador, Egypt, Georgia, Indonesia, Kazakhstan, Kenya, Kyrgyz Republic, Macedonia, Moldova, Montenegro, Morocco, Papua New Guinea, Peru, Philippines, Serbia, South Africa, Sri Lanka, Thailand, Tonga, Tunisia, Turkmenistan, Uruguay, Uzbekistan, and Viet Nam.

training sessions should have defined training objectives more explicitly and participants should have been given time to review the available e-tutorials before in-person sessions.

110. In addition to developing training products on NAP-related topics, the project also operated in part as a knowledge broker, facilitating access to knowledge and training products prepared by project partners. This approach increased the visibility of partners' products and contributed to the cost-effectiveness of training activities delivered by the project. During interviews conducted during the evaluation, project partners confirmed that the project provided a relevant opportunity to disseminate capacity building and knowledge products developed by UN Agencies and other partners.

111. **Output 2.2.** National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium- to long-term adaptation.

112. The project delivered thirteen regional training workshops and one training of trainers (ToT) event. In total, the project trained 380 practitioners (47% women, 53% men) from 96 non-LDCs. The target set in the PRF for the number of practitioners trained was 300.

113. Initial regional training events introduced participants to the NAP process, provided information on the elements in LEG's technical guidelines for NAPs, and focused on specific NAP-related topics (e.g. financing, CBA techniques, gender mainstreaming, monitoring and evaluation, etc.), as identified and requested by participants' countries. Subsequent regional events provided a deep-dive on priority climate change adaptation topics (e.g. water resources (Asia), appraisal and prioritization of adaptation options (Pacific), and co-benefits from adaptation action (Latin America)). Table 8 lists the regional and ToT workshops delivered by the project.

Table 8. Regional trainings and training of trainer workshops

Dates	Location	Region	Participants
Regional training workshops			
28 – 30 June, 2016	Chisinau, Moldova	Eastern Europe, Caucasus and Central Asia	39 representatives from Armenia, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Croatia, Georgia, Kazakhstan, Republic of Moldova, Montenegro, Romania, Russian Federation, Serbia, Tajikistan, Turkey, Ukraine, and Uzbekistan.
20 – 21 October, 2016	Colombo, Sri Lanka	Asia and the Pacific	35 representatives from China, Fiji, Iran, Malaysia, Maldives, Marshall Islands, Mongolia, Nauru, Niue, Pakistan, Palau, Philippines, Papua New Guinea, Samoa, Sri Lanka, Tonga, and Viet Nam.
25 – 27 October, 2016	Bogotá, Colombia	South America and Mexico	25 representatives from Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, Mexico, Paraguay, Peru, Uruguay, and Venezuela.
8 – 10 February, 2017	Panama City, Panama	Central America	28 representatives from Costa Rica, Cuba, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and Panama.
3 – 5 April, 2017	Amman, Jordan	Middle East and North Africa	37 representatives from Algeria, Bahrain, Egypt, Iraq, Jordan, Kuwait, Lebanon, Libya, Morocco, Oman, Palestine, Saudi Arabia and Tunisia.

Dates	Location	Region	Participants
31 May – 2 June, 2017	Georgetown, Guyana	Caribbean	25 representatives from Antigua and Barbuda, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Saint Kitts and Nevis, Saint Lucia and Suriname.
13 – 16 September, 2017	Seoul, Korea	Asia	38 representatives from Bangladesh, Bhutan, Brunei–Darussalam, China, India, Iran, Malaysia, Maldives, Mongolia, Pakistan, Philippines, Sri Lanka, Thailand, Viet Nam and Yemen. ⁹
17 – 18 October, 2017	Abidjan, Côte d'Ivoire	Africa	32 representatives from Cameroon, Cote d'Ivoire, Equatorial Guinea, Gabon, Ghana, Kenya, Nigeria, Republic of Congo, Seychelles, South Africa, and Zimbabwe. ¹⁰
28 – 31 May, 2018	Nadi, Fiji	Pacific	27 representatives from Cook Islands, Fiji, Marshall Islands, Federated States of Micronesia, Nauru, Niue, Palau, Papua New Guinea, Samoa, and Tonga. ¹¹
25 – 28 September, 2018	Kigali, Rwanda	Africa (Anglophone)	22 representatives from Congo Brazzaville, Egypt, Eswatini, Ghana, Kenya, Nigeria, Seychelles, and Zimbabwe. ¹²
1 – 4 October, 2018	Kigali, Rwanda	Africa (francophone)	18 representatives from Cameroon, Cote d'Ivoire, Republic of Congo, Equatorial Guinea, Gabon, Morocco, and Tunisia. ¹³
24 – 26 October, 2018	Panama City, Panama	Latin America	38 representatives from Argentina, Bolivia, Brazil, Chile, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, México, Nicaragua, Panamá, Paraguay, Perú, Uruguay, and Venezuela.
24 – 26 April, 2019	Montego Bay, Jamaica	Caribbean	16 representatives from Antigua and Barbuda, Barbados, Belize, Dominica, Jamaica, Saint Kitts and Nevis, Saint Lucia and Suriname.
Training of trainers workshop			
26 – 29 March, 2018	Bangkok, Thailand	N.A.	16 representatives from UNDP, UNEP, UNITAR, UN Habitat, FAO, GWP-Africa and WMO.

114. Regional training workshops served to facilitate South-South cooperation and to engage with project partners. Regional events included activities to match expertise and knowledge available in participating countries, with needs from countries in the region. During the workshops, representatives from participating countries were invited to share their experiences with their NAP processes. There is evidence that these efforts initiated and facilitated useful collaboration on NAPs between non-LDCs. Interviews with representatives from participating countries corroborate these findings, although not every country claimed that they benefited from these collaboration opportunities. In a few cases, the South-South

⁹ Representatives from LDCs also participated in the workshop but are not listed here.

¹⁰ See previous note.

¹¹ See previous note.

¹² See previous note.

¹³ See previous note.

collaboration initiated under the project persisted after project end, in other cases, collaboration ended with the project.

115. Workshop participants surveyed by the project team frequently stated that workshops were too short and could have been longer. Some concern was reported of workshop content clarity. Some participants claimed they did not fully understand what was presented making it a challenge to apply the knowledge with confidence. Some considered regional workshops as too generic which could be enhanced by covering success stories and constraints that are visible globally and within regions as well as critical technical limitations of adaptation planning. Recommendations were made by workshop participants to divide participants into smaller groups to increase overall interaction and recap the most critical items to enhance learning possibilities. There was a view that the inclusion of key local stakeholders in national workshops would have enhanced learning as well. Further, pre-post-comparison would have allowed countries to reflect on progress made and also to compare with other countries in the region. This, it was argued, would result in increased collaboration and peer-to-peer learning.

116. Project partners were engaged by the project team for the planning and delivery of regional trainings. In addition to UNDP and UNEP personnel, resource persons from UN Agencies and other partner organizations, including FAO, GiZ, GWP, UN-Habitat, UNFCCC, UNITAR and WMO, participated in regional workshops and offered participating countries knowledge and tools developed by their respective organizations. Interviews with project partners confirmed this practice and deemed the project actions useful to the advancement of their organizations' mission on climate change.

117. **Output 2.3.** Web-based training materials prepared for use by non-LDC developing countries as they advance their respective NAP processes.

118. The training products prepared in collaboration with UNITAR under project output 2.1 included three e-tutorials that were translated into Arabic, English, French and Spanish. The targets listed in the PRF include five training materials, translated into five languages. The tutorials are publicly available on the websites of the NAP-GSP and the One UN Climate Change Learning Partnership (UN CC:Learn). The tutorials delivered by the project are:

- "Keeping the Taps Running in a Changing Climate", a tutorial on mainstreaming climate change adaptation into water resources.¹⁴
- "Making the Right Choices - Prioritizing Adaptation Options", a tutorial on the appraisal and prioritization of adaptation options during adaptation planning and implementation.¹⁵
- "Finding the Money - Financing Climate Action", a tutorial on climate finance.¹⁶

119. Interviews with representatives from participating countries provided mixed evidence with regards to the use of the e-tutorials. In some cases, tutorials were being used to improve the understanding of climate change adaptation of stakeholders participating in NAP-related activities. In other cases, interviewees were not aware of the existence of the materials.

¹⁴ <https://unccelearn.org/course/view.php?id=58&page=overview>

¹⁵ <https://unccelearn.org/course/view.php?id=72&page=overview>

¹⁶ <https://unccelearn.org/course/view.php?id=77&page=overview>

Outcome 3. Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP processes:

120. **Output 3.1.** Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium- to long-term development planning.

121. The project disseminated knowledge on the NAP processes through the NAP-GSP website¹⁷, a newsletter, webinars, videos and events (e.g. NAP Expos (2015, 2016, 2017 and 2018), NAP Expo Asia, forums of the Asia Pacific Adaptation Network (APAN), side event at UNFCCC meetings, etc.). Some level of collaboration with the Regional Getaway for Technology Transfer and Climate Change Action for Latin America and the Caribbean (REGATTA) seems to have been achieved, but there's no evidence of partnerships with other initiatives, as proposed in the project document. Activities to link NAP processes to new or existing communities of practices were apparently not pursued by the project.

122. Interviews with representatives from participating countries and partner organizations confirmed that the NAP-GSP website, webinars and events were useful to share and obtain information relevant to NAP processes. Partner organizations indicated that the country-specific information made available on the NAP-GSP website was useful for planning and implementing support activities.

123. **Output 3.2** South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries.

124. The project published short, country-specific case studies describing the context, process and status of preparation of NAPs in twelve participating countries: Albania, Armenia, Bosnia and Herzegovina, Ecuador, Egypt, Kazakhstan, Kyrgyz Republic, Republic of Moldova, Morocco, Papua New Guinea, Tajikistan, and Uruguay. Five regional briefings provide an overview of NAP processes in African, Asian, Caribbean, Latin American and Middle East and North African countries. Regional briefs include short presentations of the challenges, opportunities and emerging issues related to NAPs. Activities to engage with the private sector, that were proposed under output 3.2. as a "pilot public-private platform" on private sector investment in adaptation, were initiated by the project team but had to be discontinued because of the potential for the perception that the UN might be promoting a private sector entity. No other activities with the specific objective of engaging the private sector were attempted by the project team.

125. Overall, the delivery of outputs is rated **Satisfactory (S)**.

5.4.2 Achievement of Direct Outcomes

Direct Outcome 1. Institutional and financial frameworks to support NAP processes in non-LDC developing countries are strengthened:

126. The project supported 37 non-LDCs in their efforts to advance their NAP processes. The support activities responded to the specific context and needs of each requesting country. The

¹⁷ National Adaptation Plan Global Support Programme (NAP-GSP). <https://www.globalsupportprogramme.org/nap-gsp>

project team successfully developed a set of products to fit most demands from countries: (i) stocktaking exercises, (ii) stakeholders' consultations/dialogues, (iii) capacity assessments, (iv) roadmaps and (v) mobilization of climate finance for adaptation planning, in particular resources for readiness activities under the Green Climate Fund (GCF).

127. Countries valued the benefit from the support received from the project, especially in light of the limited scope, time and resources available to deliver activities in individual countries. The end-of-project assessment, carried out by the project team, concluded that all thirteen countries surveyed considered that the support received from the project was useful to advance their NAP processes. In some countries, gap analysis and needs assessments for adaptation planning have resulted in country awareness of current shortcomings in their processes and assisted in prioritizing adaptive measures for developing planning scenarios. Different sectoral actors, especially Ministries of Environment, Finance, and Planning were seen as critical to the planning processes. The project therefore promoted inter-sectoral collaboration from the very beginning by supporting participation not only of the traditional climate change departments but also involving other line ministries. This conclusion was reaffirmed during the interviews with representatives from participating countries conducted as part of the terminal evaluation.

128. The ability to access resources from GCF for climate change adaptation became an important driving factor for the project's actions under outcome 1. This factor, which could not have been planned for at the time of project design, was incorporated effectively by the project team into the project's toolkit. The opportunity to mobilize resources from GCF generated interest from participating countries in the project's activities and provided a natural avenue for the continuation of activities on planning for climate change adaptation after the project's intervention. While the process to access resources from GCF was not without ups and downs, representatives from beneficiary countries confirmed in the end-of-project assessment and in interviews during this terminal evaluation, that the support received from the project was of high quality and that the results were useful. Moldova, for example, took advantage of the non-LDC NAP project to prepare two proposals for GCF. One proposal was to plan for adaptation in the agriculture sector with support from FAO. A second GCF proposal supported by UNDP included other prioritized sectors.

129. The project's contributions to strengthening national frameworks to advance NAP processes has been confirmed by the country representatives surveyed by the project team and/or interviewed for this terminal evaluation. However, as expressed by project team members, country representatives and project partners, those contributions do not eliminate the need for additional support and capacity building activities in non-LDCs. Indeed, for the foreseeable time, additional external inputs will be required before non-LDCs developing countries can effectively plan for climate change adaptation on their own. Indeed, while some progress is being made towards strengthening of institutional and technical capacities, as a result of the delivery of the activities in this component, the evidence from the post project survey suggests that project countries have mostly found support activities useful with a limited number of countries using tools provided by the project. In order to achieve outcomes, the results of the implementation of the project activities must move beyond the support received from the project as being useful to some tangible actions by the countries in preparing adaptation plans. The information available to this evaluation is not sufficient to support a conclusion that such tangible actions are occurring in a critical mass of the countries supported.

130. The achievement of direct outcome 1 is rated as **Moderately Satisfactory (MS)**.

Outcome 2. Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries:

131. The project team planned and delivered thirteen regional training workshops, providing training to 380 practitioners from 96 non-LDCs, thus exceeding the target of 300 set in the PRF. Workshops were organized with the input and participation from project partners. A survey of 108 workshop participants conducted by the project team concluded that over 90% of respondents considered that the training events met their expectations and contributed to new knowledge that was applicable to their work. Similar opinions were provided to the evaluation team during interviews with country representatives. All the countries interviewed by the project team reported that support provided by the project has positively impacted their long-term adaptation planning processes. Representatives from 11 of the 13 countries¹⁸ stated that their countries are already implementing measures that were influenced by technical knowledge acquired through the project. Key messaging in all regional workshops encouraged the countries to retreat from project mentality to a longer-term planning process where adaptation fits within the national development planning framework. While the technical knowledge provided by the project has influenced the planning processes of some countries, it is not clear to this evaluation that the need for strengthening technical capacity has been satisfied in the various participating countries. Indeed, according to the project's own survey, some countries (albeit limited in number) did not find the information provided by the project relevant to their circumstances. Neither does this evaluation have the evidence of a critical mass of participants using the tools and methods provided by the project to prepare adaptation plans.

The information systems established and housed on existing platforms disseminated lessons generated by the project on the NAP process such as case studies of piloted projects, summarised discussions from working groups and online training material. Communities of practice were established to promote the sharing of knowledge, information and lessons learned among non-LDCs. These are being used by some countries to gain a better understanding of the adaptation planning processes.

132. Interviews conducted for this evaluation have revealed that there was efficient and effective collaboration among partners delivering training activities. This is attributed, in part, to the decision of the project to disseminate training products already available to project partners, in addition to the development of new training products. Effective communication with the project team facilitated the sharing of knowledge and expertise between project partners, which was subsequently provided to participating countries.

133. Three new training products on climate change adaptation were produced by the project in partnership with UNITAR. These products included three e-tutorials that were translated into four languages and published online. There is limited evidence to assess how widely-used these materials are, or how effective they have been in increasing the capacities of practitioners in non-LDCs. The end-of-project survey did not ask specifically about the use and assessment of these products by respondents, and the interviews completed during the terminal evaluation did not conclude decisively on this issue.

134. The project generated and facilitated opportunities for South-South cooperation that were seized by some participating countries. These opportunities were deemed valuable by country representatives interviewed for the evaluation. As a part of cooperation and

¹⁸ Armenia, Bosnia and Herzegovina, Côte d'Ivoire. Ecuador, Egypt, Ghana. Lebanon. Moldova, Montenegro, Morocco, Papua New Guinea, Tunisia, Uruguay.

collaboration that resulted from the regional trainings, Moldova, for example, supported several countries in the preparation of their adaptation plans.

135. The achievement of direct outcome 2 is considered as Moderately **Satisfactory (MS)**.

Outcome 3. Lessons and knowledge sharing through South-South and North-South cooperation enhances international and regional cooperation to formulate and advance NAP processes:

136. As part of an end-of-project assessment, the project team surveyed participants in regional training events and NAP focal points from non-LDCs to enquire about their perceptions of the capacity building activities and knowledge products made available by the project. Survey results indicate that 85% of respondents considered the knowledge products available on the NAP-GSP website as useful. The target for outcome 3 included in the PRF stated that "at least 70% participants in the knowledge-sharing systems report interest and/or uptake of lessons and best practices from North and South countries". The NAP-GSP website was updated continuously and serves as a repository of knowledge on NAPs. The project also shared information through newsletters (2,500 subscribers), social media (incl. videos), and blogs.

137. The end of project survey referenced above revealed that the project was effective in increasing information and knowledge. All the survey participants reported that support provided by the project has positively influenced their long-term adaptation planning processes. The information systems established and housed on existing platforms disseminated lessons generated by the project on the NAP process such as case studies of piloted projects, summarised discussions from working groups and online training material.

138. Interviews with national project participants conducted by the evaluation team have confirmed that there has been cooperation between non-LDC governments. For example, the representative from Montenegro noted that collaboration with countries in the region had been helpful in their effort to prepare their NAP. However, collaborative efforts did not continue after the project concluded. Activities such as regional workshops facilitated regional collaboration and are still relevant to Montenegro. Armenia stated that collaboration with countries in the region that started with activities under the GEF-supported project has continued until today. Armenia continues to cooperate with countries in the region such as Belarus, Georgia, Moldova and Ukraine. Moldova also noted that collaborations that started within the context of the non-LDCs NAP project have continued after the project's end and they are seen as valuable to Moldova. In Ghana, one of the representatives interviewed stated that he is still in constant communication with a network of participants from several African countries from the workshops organized under the NAPs project and these communications have facilitated the development of their national adaptation planning framework which was produced in 2018.

139. Project partners interviewed for this terminal evaluation praised the effective collaboration among UN Agencies and international organizations who participated in this project. Collaboration between UNDP and UNEP seemed to have been remarkably effective. Factors contributing to effective cooperation and collaboration between the two agencies included the following: (i) the project document clearly defined the responsibilities of each agency, (ii) beneficiary countries actively demanded an effective support from the project and cooperation between UN agencies, (iii) the management of both UNEP and UNDP was also explicit about their expectations for the project to perform and for teams to collaborate effectively (a Memorandum of Understanding was signed to that effect), and (iv) the co-location of project teams in Bangkok facilitated communications and the coordination of activities. Good communication and shared mission were considered the main contributing factors to effective

collaboration. That, it was argued, represents a model for future collaboration on other projects within the UN family and with other international organizations

140. Overall, by successfully mobilizing support and gaining buy-in from key stakeholders such as governments, bilateral and multilateral organizations, a key assumption made by the project at design held. Indeed, the project also used partnerships (through existing networks) to access platforms to disseminate knowledge. Another assumption is that the users of the tools and lessons produced find them relevant and make use of them. As shown above the project's contributions to strengthening national frameworks to advance NAP processes has been confirmed and tools provided during training and consultations are being used to apply for funding for adaptation planning. In that regard, the second assumption to move the project along the pathway from outputs to outcomes have been fulfilled.

141. The rating of achievement of outcome 3 is **Satisfactory (S)**.

5.4.3 Likelihood of impact

142. Non-LDC developing countries have participated effectively in regional and national training activities and country level support has been successful, for the most part. While interviews with governments have indicated strong commitment to achieving the project objectives and there is evidence to show that some governments have, indeed, been working effectively to integrate climate change adaptation into their national planning processes using tools and lessons learned from the project, it is too soon to determine how the processes will be sustained in the longer term especially as it relates to the allocation of national resources to support the processes at the national level.

143. The evidence shows that the project was able to mobilize governments, bilateral/multilateral agencies and NGOs to support the process of developing capacities among governments and, indeed, supported government agencies to use the skills and tools acquired. Agencies such as FAO, GiZ and UNITAR provided technical advisory support during project implementation. Knowledge and tools produced by the project seem to be in use and lessons are being applied. For example, all the countries interviewed by the project team reported that support provided by the project has positively impacted their long-term adaptation planning processes. As stated earlier, countries have been implementing measures using technical knowledge acquired through the GSP-NAPs project. Indeed, a key result of the project was the support provided to countries to develop the capacity to access international climate finance. Moldova noted that the preparation of two project proposal requesting GCF funding for climate change adaptation planning was largely influenced by the GSP-NAPs project. In Ghana, the national Cost Benefit Analysis workshop supported by UNDP resulted in effective engagement with legislators and the preparation of proposals for developing a NAP Framework which was prepared in 2018 through the support of the International Institute for Sustainable Development (IISD).

144. Other examples which demonstrate that the tools and information products generated by the project are actually being used include: (i) the role of trained practitioners in Malaysia in mobilizing resources for adaptation from GCF, (ii) the use of the training materials prepared by the project in the context of support activities to the Government of Myanmar that are provided outside the scope of the project, (iii) the continuation and positioning of NAP Expo events, which were initiated by the project, and (iv) the mobilization of resources for adaptation from the United Nations Capital Development Fund (UNCDF).

145. The three direct outcomes discussed above must combine under the assumption that non-LDCs will support the NAP process and training initiatives with their internal resources

and/or are able to gain access to external resources to support their NAP processes. The key driver is that non-LDCs are committed to sustaining technical and institutional capacity and will engage around the issue of climate change. While the project has been confirmed in the end-of-project assessment and in interviews during this terminal evaluation as having effectively supported and facilitated access to resources from GCF for climate change adaptation planning, this evaluation has not been able to determine to what extent national governments have supported the NAP process and training activities with internal resources. However, as expressed by partners and project participants in the interviews conducted as part of this evaluation, the need for external funding seems to be evident.

146. The examples described above however represent progress towards the development of institutional capacity and progress towards the preparation of national adaptation plans in some cases. In other cases, the project has assisted participating governments to develop national adaptation plans and is making progress towards the intermediate state which will enable them to adequately plan for and adapt to the effects of climate change. In that regard, progress, albeit limited, is being made towards the stated impact of reducing vulnerability to climate change through effective medium- to long-term planning for climate change adaptation. It is clear though that this objective cannot be fully achieved without infusion of internal resources and additional support from external sources.

147. The overall rating of the likelihood of impact achievement is **Moderately Likely (ML)**.

5.5 Financial Management

148. The administration of the entire project complied with UN administrative standards. In the case of UNEP, the budget planning and expenditure sheets look adequate albeit incomplete since full reporting on co-financing was not available. Project revisions were well documented and fully transparent. Besides the expenditures reported as part of reporting for project outcomes, Co-financing information requested by the evaluation team is presented in Tables 11 and 12 below for UNDP and UNEP respectively.

149. The project's financial plan and a detailed budget were presented in the Project Document. This project received direct funding from the SCCF totalling US\$4,500,000 – US\$2,250,000 for administration by UNEP and US\$2,250,000 for administration by UNDP. The overall cost of the full-size project was 46,300,000. Tables 9 and 10 below represent costs and expenditures by project component as reported by the Project Team.

Table 9. Expenditure by Component (UNDP)

Component	Estimated Cost at Design (USD)	Actual Cost Expenditure (USD)	Expenditure Ratio Actual vs Planned
Component 1	1,388,889	1,529,299.20	1 / 1.1
Component 2	-N/A	-N/A	NA
Component 3	674,444	543,023.33	1 / 0.8
Project management costs	186,667	177,115.51	1 / 0.8
Total (US\$)	2,250,000.00	2,249,438.04	1 / 1

Source of information: Status of implementation, achievements and 2019 work plan of the project Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs). Report present to the project Board

Table 10. Expenditure by component (UNEP)

Component	Estimated Cost at Design (USD)	Actual Cost Expenditure (USD)	Expenditure Ratio Actual vrs Planned
Component 1	N/A	NA	N/A
Component 2	1,896,992	1,897,570	1 / 1.00.
Component 3	206,342	142,149	1 / 0.69
Project management costs*	146,666	124,727	1 / 0.85
Total (US\$)	2,250,000.00	2,164,446	1 / 0.96

*Includes\$ 60,000 for M&E

Source: UNEP Budget Breakdown Non-LDC – April 2019

Table 11. UNDP Co-Finance by Project

Project	Co-financing amount	
	Pledged	Realized
NAP Ag (Integrating Agriculture in National Adaptation Plans)	8,000,000.00	9,686,171.00
LECB Programme	15,000,000.00	15,355,518.54
JCCC (Japan Caribbean Partnership on NAPs)	15,000,000.00	10,727,621.15
TOTAL	38,000,000	35,769,310.69

Table 12. UNEP Co-Finance by year and Activity

Year	Project Outcome	Activity	Co-Financing USD
2016	2	Regional Training Workshop for South America and Mexico - Bogota, Colombia, 25-27 October	15,250
2017	2	Regional Training Workshop for Central America - Panama City, 8-10 February	15,250
	2	Regional Training Workshop for Middle East and North Africa - Amman, Jordan, 3-5 April. (UNEP in-kind contribution, contribution of CC Regional Coordinator)	2,500
	2	NAP-GSP Regional Training Workshop for the Caribbean - Georgetown, Guyana, 31 May- 2 June 2017	15,250
	2	Regional Training Workshop for Asia and Pacific on 'Mainstreaming Climate Change Adaptation into Water Resources' - Seoul, Republic of Korea, 13-16 September. (UNEP in-kind contribution, contribution of CC Regional Coordinator) Korean Environment Institute (KEI) hosted this training workshop	35,000
	2	Supporting countries to access finance to advance National Adaptation Plans (NAPs) (Swaziland, Zimbabwe, Pakistan)	60,000
2018	2	Regional Training Workshop for the Pacific on 'Appraisal and Prioritization Tools for Adaptation options' - Nadi, Fiji, 28-31 May(UNEP in-kind contribution, contribution of CC Regional Coordinator and Head of Samoa Office)	10,000
	2	Regional Training Workshop for Latin America on Innovation in Adaptation - Panama City, Panama, 24-26 Oct	15,250
	2	Supporting countries to access finance to advance National Adaptation Plans (NAPs) (Mongolia, Dominican Republic, Costa Rica, Ghana)	80,000
2019	2	Regional Training Workshop for the Caribbean on Innovation in Adaptation - Montegobay, Jamaica, 24-26 April	15,250

Year	Project Outcome	Activity	Co-Financing USD
	2	Supporting countries to access finance to advance National Adaptation Plans (NAPs) (Honduras, Iraq, Nigeria, Cameroon, Seychelles, Panama, El Salvador, Georgia)	160,000
2016	3	5th APAN Forum, Colombo, Sri Lanka in October 2016 where NAP-GSP led on Adaptation Planning workstream. NAP-GSP and Korean Environment Institute (KEI) have also organized a training workshop on adaptation planning.	35,000
	3	Hindu Kush Himalayas and Small Islands LAKI Workshop Colombo, and SSFA with ICIMOD, IWMI	97,067
	3	West Asia LAKI (Gulf Cooperation Network Workshop) 2015	27,296
	3	Southern African sub-regional workshop LAKI	60,524
2018	3	6th APAN Forum - Manila, Philippines: NAP-GSP supported the Technical session on innovation and technology to advance NAPs along with Communications, knowledge management and reporting	25,000
	3	National Adaptation Plan Expo (NAP Expo) 2018 LAC 22-23 Oct	27,000
Total			712,770

150. The project team confirmed that co-financing resources were identified during project design, but the disbursement of these resources was not tracked during project implementation. As shown in Table 11, the total amount of co-financing realized, as reported by UNDP was 94% of the amount pledged. This represents an impressive amount of co-financing realized. The co-financing was used to fund discreet but related projects. Some activities this evaluation understands were implemented in parallel with activities in some of these projects. The total co-financing pledged in the UNEP project document was \$46,300,000. As reported by UNEP in Table 12, a total of \$712,000 was realized and used directly in the implementation of project activities. The sources of the co-financing were not revealed. Also, what is not clear in the reporting received from the project is the contributions of the various partners such as UN Habitat, WMO UNITAR, WHO, FAO, GIZ. And other partner contributions. As of June 2019, the entire \$4.5 million GEF allocation to the project had essentially been spent. The revisions to the budget were designed primarily to re-phase unspent balances and extend the project duration.

151. Reporting by UNEP consistently indicated that team members were well connected and working collaboratively. The environment was seen as friendly. According to the project Manager, (as reported in the PIR) funds were correctly managed and there was good communication between the Project Task Manager and the Fund Management Officer. UNDP notes that there was generally good communication among project staff. Substantive reports are presented generally in a timely and transparent manner, and made available upon request. The expenditure reports for this evaluation were submitted as a part of the initial documentation for this evaluation.

152. While there is evidence that co-funding resources have been used to implement supporting projects in the case of UNDP and for developing training modules through UNITAR in the case of UNEP, full tracking of co-financing was not done. Table 13 below presents an assessment of the management and reporting on the finances of the project.

Table 13. Financial Management

Financial management components:		Rating	Evidence/ Comments
Questions relating to financial management across the life of the project:			
Compliance with financial requirements and procedures of UN Environment and all funding partners (including procurement rules, financial reporting and audit reports etc.)		S	UN Environment financial requirements and procedures were followed
Timeliness of project financial reports and audits		S	The PIRs noted that all financials reports were prepared in a timely manner. As an internally executed project no audits were required in UNEP. The UNDP audit which was budgeted for is not available
Quality of project financial reports and audits		MS	The evaluation has not seen the project expenditure reports which the project claims was provided. The UNEP reports were adequate.
Contact/communication between the PM/TM & FMO		S	In UNEP the PIRs note good communication between Project Manager, Task Manager and the FMO. UNDP also reports good communication among project staff. The required reports have been communicated for the purposes of this evaluation.
PM/TM & FMO responsiveness to addressing and resolving financial issues		S	There is no reported difficulty
Questions relating to financial information provided during the evaluation:			
Provision of key documents to the evaluator (based on the provision of A-F below)		S	Provided
A.	An up-to-date 'Co-financing and Project Cost's table	Y	Provided. Reporting is generic; It does not reveal sources and does not include a breakdown which reflects the contributions of partners.
B.	A summary report on the project's annual financial expenditures during the life of the project.	Y	Reports have fully been provided on UNEP's Expenditures. No UNDP expenditure reports have been seen by the evaluation team. However, the outcome reporting to the project Board contained expenditures by project component and was used in the absence of the expenditure information.
C.	Financial documents from Mid-Term Evaluation/Review (where appropriate)	Y	Annexes to the MTR contain financial information
D.	All relevant project legal agreements (e.g. SSFA, PCA, ICA) – where appropriate	Y	Provided for UNITAR. Also, Internal UNEP ICAs
E.	Associated financial reports for legal agreements (where applicable)	Y	Provided for UNITAR. No financial statements were received on any contracts from UNDP
F.	Copies of any completed audits	N/A	None required for UNEP and none was submitted from UNDP for this evaluation. UNDP had budgeted for an audit.
Demonstrated knowledge by the PM/TM & FMO of partner financial expenditure		S	Adequate
PM/TM & FMO responsiveness to financial requests during the evaluation process		MS	Provided albeit late in some cases. The evaluation team has only seen the UNDP

		expenditures reported by project component to the Board
Overall rating	S	

153. The overall rating of financial management of the project is **Satisfactory (S)**.

5.6 Efficiency

154. Efficiency is a performance measure regarding the timeliness and cost-effectiveness of the implementation of planned activities and the delivery of outputs and outcomes. These could include positive contributions to performance such as: cost and time saving measures; use of existing systems to support project design/activity; and fullest use of human and financial inputs; as well as negative contributions to performance such as administrative delays and management delays.

155. In general, efficiencies were either built into project design or have been realised through the use of proven models which allowed the project to roll-out activities to a wider stakeholder group, sometimes through workshops and training programmes. For example, the project organized several training courses in 2017 and 2018 using proven concepts such as Training of Trainers (ToT)¹⁹ as capacity building for and networking with the project partners to enhance training skills and served as the project partner meeting to develop a work plan for the project. There were 20 participants in the NAP-GSP ToT event in Bangkok representing 7 agencies including UNEP, UNDP, UN-Habitat, GWP, WMO, FAO and UNITAR²⁰.

156. The aim of the project workshops was to develop technical and institutional capacities within governments to advance medium to long- term adaptation processes. These training courses were based on manuals that had been developed and validated for the purpose. The project also took advantage of existing meetings and information platforms to create awareness through e.g. e-newsletters to approximately 2,500 subscribers, and 8 NAP-GSP 'In conversation' videos.

157. The use of partnerships contributed to both effectiveness and efficiency. The role of partnerships in project implementation was discussed in some detail in Sections 3.3 and 5.9.3 of this report. The close involvement of the relevant Ministries, bilateral and multilateral agencies increased efficiency as project implementation benefited from better institutional knowledge and memory, contacts, and experience. For example, UNITAR, a UN institution that specializes in conducting training activities on a wide range of learning events through workshops, seminars, briefings, conferences, public lectures, side events and online courses, served on the Technical Advisory Group of the project and executed training programs. Baseline surveys were undertaken by UNITAR to support the training program. Working with an intergovernmental body such as the Secretariat of the Pacific Regional Environment

¹⁹ NAP-GSP: Training of Trainers 26-29 March 2018, Bangkok, Thailand.

²⁰ UNEP-GEF PIR Fiscal Year 18 (1 July 2017 to 30 June 2018)

Programme (SPREP) in organizing the regional workshops assisted in increasing visibility of the NAP-GSP and strengthened networking among countries in the Pacific region to exchange ideas and experiences, which enhances continuation of the need to discuss NAP and its implementation for sustainable development. As noted earlier, resource people at the training courses in most instances came from agencies including UNEP, UNDP, UN-Habitat, GWP, WMO, FAO and UNITAR.

158. Efficiencies were gained from collaboration among partners in organizing training activities due mainly to the decision by the project to promote and disseminate existing partner training products instead of developing only new products. This approach contributed to the cost-effectiveness of project activities. Efficiencies were also gained from co-operation with the already on-going NAP-GSP for LDCs.

159. Efficiencies were also gained from implementing more regional workshops, additional to the schedule committed to in the project document using the original resources allocated. Again, over 380 practitioners (against the planned 300) from 95 non-LDCs attended regional training workshops to increase their technical capacity to support key steps in their NAP processes.

160. The key inefficiency identified was slow project start-up for a variety of reasons, including lateness in project approvals and other administrative delays, including the late appointment of UNEP's technical specialist. The project was initially planned to start in January 2015. Yet, the project was only approved in UNDP and the GEF in March 2015 and not in UNEP until July 2016. While the planned completion date was December 2017, the project was operationally completed in June 2019. The project was revised in 2017 to extend its duration to allow for the completion of additional project activities. In the original design of the project, the project implementation timeframe was too short to build trust-based relationships with governments and it is also too short for the ambitious schedule of workshops planned for a 2-year timeframe. However, the extension to the project allowed for the delivery of programmed outputs.

161. The overall rating of efficiency is **Satisfactory (S)**.

5.7 Monitoring and Reporting

162. Monitoring plans were included in both UNDP and UNEP project documents. Milestones seem adequate for measuring implementation progress. Project implementation reports (PIRs) were prepared separately by UNDP and UNEP covering the areas of the project which were under the responsibility of each agency. The PIRs provided for this evaluation were found to be adequate. Besides a project assessment undertaken at the end of the project, no final project report was prepared. A substantial portion of the information used in this report on the achievement of planned project outputs and outcomes were derived from these sources of information on project monitoring. The PIRs provided detailed information on the assessment of project progress as well as actions needed to address identified problems. Over the duration of the project, 6 PIRs (2016 to 2018) were prepared which reflected changes in the status of the project over time. The PIRs also included a detailed analysis of risks and ratings on assessment of risks to the project. This evaluation found that ratings assigned in the PIRs were realistic.

5.7.1 Monitoring design and budgeting

163. M&E design followed UN standard monitoring and evaluation procedures. The original PRF included verifiable indicators and means of verification for the project objectives and

outcomes and, in the case of UNEP, outputs. UNEP's project document describes in annexes 5 and 9 M&E activities including responsible parties, and performance indicators. It also described monitoring and progress reporting at the project level (PIRs). Both the MTR and Terminal Evaluation, financial reporting, timing and responsible parties were included in the M&E plan in both project documents. As discussed in Section 3.5, no significant changes were made to the PRF. This evaluation notes, however, that the definition of the indicator at the outcome level of component one was too generic and did not allow for adequate monitoring and evaluation. The project budget included the costs for M&E activities. The MTR and Terminal Evaluation were costed at USD30,000 and USD22,000 respectively in both UNDP and UNEP plans with an additional USD2,500 allocated for financial audits per year in the UNDP plan.

164. The rating on monitoring design and budgeting is **Satisfactory (S)**.

5.7.2 Monitoring implementation

165. Monitoring of project performance and progress was undertaken in accordance with the monitoring plan developed for the project. Day-to-day monitoring of implementation progress was undertaken by the Project Team based on the project's annual work plan. There was little discussion of the problems encountered. Internal and external risks to the project were also addressed in the PIRs. For UNEP, monitoring of outputs was undertaken based on output indicators and PIR reports reflected progress made at the output level over the project period. By taking a position that UNDP does not monitor at the output level, (stated categorically in the project document that UNDP does not monitor at the output level therefore no indicators for reporting on outputs was developed) it is not clear how the achievement of outputs in the results framework was tracked and how tracking of the implementation of activities could be linked to the production of outputs and how a collection of outputs led to the achievement of a direct outcome and how the combination of outcomes show progress towards impact. Yet reporting to the Board included achievement of outputs and financial information, albeit at the component level. Indeed, the same applies for UNEP. While monitoring was undertaken at the output level and a ToC had been developed, the reporting did not reflect a systematic description of progress along the causal chain to impact. The PIR criteria ratings reviewed by the evaluation team were generally rated as satisfactory or highly satisfactory. In particular, the ratings of effectiveness deviates significantly from the TE ratings as a result of the differences in the understanding of what constitutes outcomes in the results framework. The MTR ratings represent progress in project implementation.

166. The project Board generally met as agreed on an annual basis. Project progress reports prepared jointly by UNDP and UNEP were submitted to the Project Board and Advisory Group for Board meetings annually. These reports covered results, risks and opportunities and were used as a basis for annual project work planning.

167. The rating on M&E implementation is **Moderately Satisfactory (MS)**.

5.7.3 Project Reporting

168. As discussed above, monitoring of project implementation was reported in PIRs. All PIR reporting was duly done against indicators and milestones. The project document had no indicators for outputs under the responsibility of UNDP and no reporting at that level was done during project implementation. Indeed, according to the project document UNDP does not monitor at the project output level. Six PIRs for the years 2016 to 2019 were prepared independently by UNDP and UNEP. The PIRs provided a good description of implementation progress in each project component mostly at the outcome level for UNDP and assigned ratings

to progress of the outcomes achieved. UNEP reported at the outcome and output levels. For the most part, financial reports were provided by UNEP. Reporting of co-financing did not include the sources of the co-financing. The full UNDP project financial expenditure is still not available to the evaluation team. For this evaluation, no Adaptation Monitoring and Assessment Tool (AMAT) was provided for review.

169. Project reports to the Board formed the basis of discussions for the approval of annual work plans. In fact, it was on the basis of monitoring data and reporting to the Board that the decision to extend the project was made to conduct additional training activities.

170. Compliance with reporting requirements at the project level was less than adequate. As required by UNEP, progress reports were prepared, but only four half-yearly reports ending in June 2017 could be found. Regular reporting was provided to the Project Board meetings

171. The rating on project reporting is **Moderately Satisfactory (MS)**.

5.8 Sustainability of Project Outcomes

172. Sustainability is understood to mean the extent to which outcomes and impacts derived from project implementation are likely to continue after external funding and assistance ends. Factors and conditions affecting sustainability have been considered in three areas: (i) socio-political factors, (ii) financial conditions, and (iii) institutional conditions.

173. The non-LDC NAP support project presented explicit strategies to sustain project outcomes. Indeed, the project elements and project activities such as institutional support, cooperation, knowledge sharing, resource mobilization as well as capacity building have in-built sustainability elements. The project was designed with an explicit end-date and responsibilities for executing various activities given to specific institutions.

174. The overall rating of sustainability is **Moderately Likely (ML)**.

5.8.1 Socio-political sustainability

175. The creation of knowledge, skills and tools necessary for countries to continue to advance their NAP process beyond the duration of the project are the principal means by which the project attempted to ensure sustainability within governments. The evidence of government commitment is the readiness of governments to participate in all aspects of the project and shows their willingness to transition to a more integrated planning and development process that takes into consideration adaptation to climate change. In creating partnerships with high level support and the participation of appropriate government agencies, the project has ensured that implementation and monitoring of activities can continue into the future. The evaluation team had the opportunity to speak with a number of representatives from participating government agencies and noted the governments' commitment to climate change adaptation planning.

176. Rating for socio-political factors is **Moderately Likely (ML)**.

5.8.2 Financial sustainability

177. The mobilization of additional financial resources from GCF and bilateral sources (e.g. Germany) is seen as a measure contributing to the sustainability of the project's outcomes. As indicated by the project team and participating countries in interviews conducted by the

evaluation team, a number of countries supported their request for GCF funding with information and products derived from the technical assistance provided by the project.

178. Regarding the availability of resources from national budgets for the advancement of NAP processes in non-LDCs the project noted that as a result of inadequate data, neither the countries nor the project team knew how much they are already spending on Adaptation and without a project baseline progress could not be meaningfully tracked. However, training was provided to participants on the use of economic analysis for adaptation planning and the development of bankable projects. This was designed to enhance national capacity to access external climate finance and allow governments to develop better proposals for funding by domestic public/private resources. At the time of this evaluation, there was no evidence that future funding for additional support to countries in preparing their national adaptation plans has been secured. Neither does this evaluation have any evidence of the governments' commitment to fund future adaptation activities.

179. In addition, the knowledge and information systems and communities of practice established will foster the sharing of technical and financial knowledge and lessons learned among project participant and beyond.

180. Rating for financial conditions is **Moderately likely (ML)**.

5.8.3 Institutional sustainability

181. The dimension of institutional sustainability addresses the issue of the sustainability of results and onward progress towards impact as it relates to factors associated with processes, policies, national agreements, legal and regulatory frameworks and governance structures. All three direct outcomes discussed above in Section 5.4.2 of this report have a direct bearing on this dimension of sustainability. This project was designed to assist countries to develop road maps, train countries in the processes and techniques of preparing adaptation plans, and develop the framework and information systems for countries to access information. No activities of a legal or regulatory nature were included among project activities implemented. As noted, the project provided support in strengthening national frameworks to advance NAP processes. In that regard, governmental structures for adaptation planning have been strengthened in some participating countries.

182. As discussed in greater detail in the assessment of effectiveness (section 5.4), the building of partnerships and the capacity building activities were instrumental in developing institutional capacity which would enable the participating governments to transition to the integration of climate change adaptation into their national planning and development processes. The creation of a cadre of knowledgeable staff in the various ministries and government departments armed with the tools and guidelines developed during this project will ensure that the necessary capacity exists in these institutions to not only influence planning but also the policy processes within governments. Through workshops and information materials technical capacity was built in these government agencies and even among other stakeholders. Such capacities will likely remain in the various agencies and institutions into the future. The evaluation recognizes that staff turnover in the various institutions at the national level represents a major risk to sustainability. However, this evaluation has not undertaken a study, this soon after project completion, to determine if the built capacity still exists. This could be a subject matter of an impact study a few years into the future. The development of web-based training materials was expected to promote the use of the NAP toolkits beyond the lifespan of the project.

183. Rating of institutional factors is **Likely (L)**.

5.9 Factors Affecting Performance

5.9.1 Preparation and Readiness

184. No major changes were made to the project document. The preparatory phase of the project was used to establish the NAP-GSP project team and the project management system. The inception meeting took place in Marrakesh November 12, 2016, where decisions were made to support all non-LDCs that requested support. The inception meeting was important to build ownership for the project results and to seek input on the work plan for the project. The inception meeting addressed a number of key issues. It assisted all partners to gain a better understanding of the project and take ownership. The meeting discussed the roles of and responsibilities of UNEP and UNDP staff within the project team. It also discussed the roles and responsibilities within the project's decision-making structures. These included reporting and communication lines, and conflict resolution mechanisms. At the meeting, the Board decided to meet annually. At the initiation of the project no permanent project manager had been hired in UNEP. Consultants were used to implement the project. A permanent staff member was appointed and came on board only in 2018 until the end of the project activities in 2019.

185. Preparation and readiness are rated **Satisfactory (S)**.

5.9.2 Quality of Project Management and Supervision

186. Even though the project was jointly implemented, the governance and management structure was simple and seemed appropriate. The roles and responsibilities of the two implementing organizations were clearly defined where UNDP provided financial and technical oversight services for the UNDP-implemented outcomes and outputs of the project. UNEP provided technical oversight services for the UNEP-implemented outcomes and outputs of the project, including management of its financial resources and the tracking of indicators.

187. The strategic decision-making body of the project was the Project Board and was comprised of representatives from UNDP, UNEP and the GEF Secretariat. The Board was co-chaired by the two Implementing Agencies and was responsible for providing overall guidance and direction to the project. At the technical decision-making level was the Technical Advisory Group (TAG) made up of representatives from the Adaptation Committee of the UNFCCC, representative of development partners, and bilateral/multilateral organizations.

188. Interviews conducted by the evaluation team confirmed the positive contribution of the TAG to the project. The TAG served as an avenue for the identification of skills and resources that were available at partner organizations that could be deployed to support participating countries. The TAG also provided input into proposed revisions to the project, before the proposals were presented to the Project Board for discussion and possible approval.

189. The diversity of the entities represented in TAG was both an advantage and a disadvantage to the effective functioning of the group. The advantage was the ability of members to provide a wide range of technical inputs to the project team and contribute with resource people and training materials that were useful in capacity building activities. The challenge related to the difficulty in convening the group for rapid and efficient decision-making. Members of the Project Board and TAG agreed to meet annually and were committed to provide guidance and advice to project implementation. Management responsibilities were clearly defined.

190. As noted, a Technical Support Unit was set up to provide technical support in the delivery of the project's objective and outcomes. The unit comprised of: Lead Technical Specialist (UNDP), Technical Specialists (UNEP), and a part-time Portfolio Analyst (UNDP). Additional technical expertise, communication and logistical support were contracted on a consultancy basis. The impression from the evaluation team interviews and reporting in the PIRs is that the Technical Support Unit, for the most part, functioned seamlessly.

191. With regards to adaptive management, it was clear that differences existed between regions in their approaches to preparing NAPs and to climate change adaptation in general. These differences, the project noted, were not only a function of the level of the resources and skills available in the respective regions and countries but were also a result of broader economic and social considerations. Difference in regional capacities to build networks and cooperate with other countries was an important factor which influenced the ease of implementation and the potential for success under components two and three. The project confirmed the superior capacities of Latin American stakeholders for collaboration. In general, the awareness of the differences in the capacities of regions and countries enabled the project to adopt a flexible approach where individual countries followed their own approaches to the preparation of NAPs. No standard procedures were adopted for the preparation of the national adaptation plans. The practice followed by countries, as noted by the team, is that climate change adaptation is mainstreamed in individual sectors (i.e. water, agriculture, transportation, etc.), instead of developing comprehensive, economy-wide plans for adaptation.

192. Also, the ability to access resources from GCF for climate change adaptation became an important driving factor for the project's actions. Issues related to the GCF could not have been planned for at the time of project design; however, it was effectively incorporated by the project team into the project's toolkit.

193. While no final project reports were prepared, PIRs were prepared up to June 2019. The project Board and TAG were actively engaged. Where necessary, an extension to the project was granted and adaptations were made.

194. Overall, the evaluation team has concluded that the quality of project management and supervision was **Satisfactory (S)**.

5.9.3 Stakeholders' Participation and Cooperation

195. The project document presented a thorough identification and analysis of the various stakeholders in all three project components. Besides UNDP and UNEP who are the key implementing partners, other stakeholders who participated in the project included a large number of government agencies, inter-governmental organizations including, FAO, WHO, IFAD, GiZ, GWP, UNITAR, and WHO, in-country missions, bi-lateral organizations, GEF Focal Points, and regional organizations also participated. Roles of the individual partners and collaborating agencies was clearly defined. Participating government agencies included Finance, Planning/and Development ministries, as well as key line ministries such as Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry.

196. Partners were selected based on a number of criteria, including presence and on-going programmes in the country and region, relevance of mandate and goals, and experience in the country (NGOs), technical/scientific capabilities, and availability of relevant data and information. There is evidence to show that the various partners were consulted during project design. Indeed, the nature of such consultation and involvement was clearly documented.

197. For the most part, the project successfully engaged the category and many of stakeholders identified in the project document. The mix of partners was effective and efficient, with each partner making important contributions towards different aspects which were necessary for the achievement of project outcomes. Based on the examination of the progress reports, PIRs, and project Board reports on accomplishments, it is clear that there was excellent collaboration among the partners driven, in part, by their interest in and enthusiasm for the project. The less positive aspect of stakeholder engagement is the limited documented involvement of the private sector groups, civil society including youth groups and indigenous peoples.

198. Discussions with a sample of partners revealed that collaboration among partners around training activities was efficient and productive. The decision to promote and disseminate training products already available to project partners, instead of developing entirely new products was perhaps responsible for effective collaboration and cost-effectiveness. Partners were invited to present their work and tools related to planning for climate change adaptation to participating countries.

199. Training activities also benefited from good and open communication with the project team. Effective communication facilitated the sharing of knowledge and expertise among partners which was subsequently provided to participating countries. Collaboration at the individual-country level was also facilitated by good communications with the project team. During project execution, it was common to organize missions to beneficiary countries in which more than one UN Agency participated. The participation of relevant agencies in joint missions increased the efficiency of the work, mobilized available resources, and helped present a uniform message to countries requesting support.

200. Project partners also collaborated in the context of NAP-related events, including side-event at UNFCCC Conferences of the Parties, NAP Expos, regional meetings and others.

201. The rating for Stakeholder participation is **Satisfactory (S)**.

5.9.4 Responsiveness to Human Rights and Gender Equity

202. As stated above, gender considerations were covered by UNDP and UNEP during project design. Gender-disaggregated indicators and targets were included in the results framework of the project at the PPG phase. However, there was no discussion on participation of indigenous peoples and little discussion on CSOs and NGOs. Requests for nominations sent by UNEP to participate in training activities were accompanied by guidelines on the recommended profile of potential participants, including their affiliation (e.g. Ministries of Finance, water authorities, etc.). In this context, the project design allowed a degree of flexibility regarding the specific profiles of the practitioners who received training. Guidelines for the designation of participants also encouraged the participation of female practitioners. At the end of the project, the percentage of female participation in all 14 regional training workshops is 46%. Also, gender was an important component in the workshops and gender sessions became an integral part of the training workshops.

203. The project was designed to align with national policies, strategies and priorities in participating countries. There are no reports available to the evaluation team that individual rights have been violated in this project. Instead, stakeholders benefitted from training and additional institutional support. Additionally, extensive consultations were undertaken with a diverse range of stakeholders in each of the participating countries.

204. The rating for Human Rights and Gender is **Moderately Satisfactory (MS)**.

5.9.5 Country Ownership and Driven-ness

205. Existing networks and in-country missions were used to conduct consultations on country needs, experiences and progress related to the NAP process. Consequently, the design of this project benefitted immensely from information collected from country representatives across multiple regions. The readiness of over 100 countries to participate in this project is an indication of governments' interest in developing the requisite capacity for advancing medium- to long-term adaptation planning in non-LDCs. The project itself focused in components 1 and 2 on supporting public sector processes for planning, budgeting, and financing development priorities and developing existing institutional and technical capacities at the national level. In doing this, the project undertook stocktaking of on-going, country-driven initiatives that support medium- to long-term climate resilient planning and budgeting. Further, working with selected countries, the project assisted in identifying information gaps, capacity requirements, and priority needs in the NAP processes of the selected project countries.

206. The results of the post project implementation surveys demonstrate that national stakeholders have, indeed, taken ownership of their respective NAP processes. Country representatives participated in the communities of practice and were active in the regional workshops organized by the project. Suggestions and recommendations offered by project participants are indications that participants are carefully assessing the applicability of the knowledge and information provided to their national circumstances.

207. In working with the targeted countries to establish planning frameworks, it was clear that climate change adaptation goes beyond the domain of Ministries of Environment. For that reason, the project has essentially provided the impetus for national governments to effectively involve national coordinating bodies, notably Ministries of Finance and Planning in the NAP processes from the beginning of the programme. This evaluation is unable to ascertain the extent to which country ownership was demonstrated through the allocation of national resources to support the adaptation planning processes. However, staff have indicated that not much progress has been made in that direction.

208. The rating for country ownership is **Satisfactory (S)**.

5.9.6 Communication and Public Awareness

209. The project attempted to and successfully followed the communication strategy described in the project document. Results from the project were disseminated through the knowledge and information systems established on existing platforms proposed in Output 3.1. In addition, the involvement of UNDP and UNEP in a number of established information sharing networks and forums such as the Global Adaptation Network was instrumental in disseminating project knowledge and lessons as well as other regional networks through the implementation of output 3.2. As noted in the discussion of stakeholder participation above, effective communication facilitated the sharing of knowledge and expertise among partners which was subsequently provided to participating countries. By using existing knowledge platforms, the project has ensured that project information is easily communicated to various governments through the existing networks.

210. The project was set up to allow, at its conclusion, for definitive statements to be made about knowledge and awareness levels on adaptation and adaptation planning issues by establishing baseline information and conducting surveys at the end of the project, to determine incremental knowledge and awareness levels. The survey conducted at the end of the project revealed that the project was effective in increasing information and knowledge. All the survey participants reported that support provided by the project has positively influenced their long-

term adaptation planning processes. The information systems established and housed on existing platforms disseminated lessons generated by the project on the NAP process such as case studies of piloted projects, summarised discussions from working groups and online training material. Communities of practice were established to promote the sharing of knowledge, information and lessons learned among non-LDCs.

211. The overall rating of Communication and Public awareness is **Satisfactory (S)**.

6. Conclusions, Lessons and Recommendations

6.1 Conclusions

213. The project was designed to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs. To achieve this objective, the project focused on supporting development of institutional and technical capacities within governments, increased access to and shared knowledge and lessons on adaptation planning through improved North-South and South-South collaboration.

214. At the end of project implementation, the bulk of the planned project outputs had been produced and some progress has been made towards strengthening Institutional and financial frameworks to support NAP processes and developing technical capacity to support key steps of the National Adaptation Plan process in the participating countries. In addition, international and regional cooperation has been enhanced through South-South and North-South Cooperation by sharing knowledge. By successfully mobilizing support and gaining buy-in from key stakeholders such as governments, bilateral and multilateral organizations, a key assumption made by the project at design held.

215. The project has made some progress towards the intermediate state which will enable countries to adequately plan for and adapt to the effects of climate change. Progress, albeit limited, is being made towards the stated impact of reducing vulnerability to climate change through medium- to long-term planning for climate change adaptation. Yet, it is clear that this objective cannot be fully achieved without infusion of internal resources and additional support from external sources which have yet to be procured by the participating countries to further strengthen their respective planning processes.

216. The evaluation further concludes that collaboration among partners was relatively efficient and effective in delivering training activities and, in general the GSP-NAPs project. Effective communication within the project team facilitated the sharing of knowledge and expertise between project partners. The knowledge and expertise were subsequently provided to participating countries. Regional workshops were considered useful in bringing countries in the same region together to learn and share experiences and in some cases to provide support to each other. Collaboration with countries in the regions was therefore viewed as a particularly useful outcome of the regional workshops.

217. The project has contributed to strengthening national frameworks to advance NAP processes yet, those contributions do not eliminate the need for additional support and capacity building activities in non-LDCs. Indeed, for the foreseeable time, additional external inputs will be required before non-LDC developing countries can effectively plan for climate change adaptation on their own.

218. The availability of resources from national budgets for the advancement of NAP processes in non-LDCs continues to be very limited. At the time of this evaluation, there was some evidence that GCF project grants for Uruguay, Bosnia, Armenia, Ecuador, Argentina, Cote d'Ivoire, Serbia, PNG, Uzbekistan, Albania, Azerbaijan, Vietnam by end of 2019). This evaluation does not have any evidence of the governments' commitment to fund future adaptation activities.

219. Slow project start-up for a variety of reasons, including lateness in project approvals and other administrative delays, including the late appointment of UNEP's technical specialist were limiting factors in project implementation.

220. There is evidence that co-funding resources have been used to implement supporting projects; in the case of UNDP and for developing training modules through UNITAR in the case of UNEP. However, full tracking of co-financing was not done.

221. Effective collaboration among UN Agencies and international organizations who participated in this project was viewed as critical to its successful implementation. In particular, collaboration between UNDP and UNEP seemed to have been remarkably effective. Good communication and shared mission were considered the main contributing factors to effective collaboration. That, it was argued, represents a model for future collaboration on other projects within the UN family and with other international organizations.

222. The evaluation determined that knowledge and tools available for monitoring and evaluation were not sufficient to promote effective monitoring of vulnerability and adaptation plans and activities. This is an area that requires focus and need to be supported. Inter-sectoral coordination is also considered a necessary condition for effective adaptation planning and, for that reason; support for activities that promote adaptation planning must be based on the existence of a strong inter-sectoral coordination mechanism.

223. Gender considerations were factored by both UNDP and UNEP into project design. For example, gender-disaggregated indicators and targets were included in the results framework of the project at the Project Preparation Grant (PPG) phase. On the other hand, there was no discussion on participation of indigenous peoples and yet still little discussion of participation of CSOs and NGOs.

224. The overall performance of the project has been rated as **Satisfactory (S)**.

225. Table 12 below presents an overview of all nine criteria used to assess the project and the ratings provided by the evaluation. The ratings are given according a 6-point scale: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Impact is rated on a 'likelihood scale' from Highly Likely (HL) down to Highly Unlikely (HU).

Table 14. Ratings of project criteria and summary assessment

Criterion	Summary Assessment	Rating
A. Strategic Relevance		HS
1. Alignment to MTS and POW	The project is clearly aligned with UNEP's Medium-Term Strategy (MTS) 2014-2017, through the Ecosystems Management Sub-programme and the Environmental Governance Sub-programme, and with the 2014-2017 Programme of Work (PoW). The project contributes to outcome 1 of UNDP's Strategic Plan ("Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded")	HS
2. Alignment to UNEP / Donor/GEF strategic priorities	The project is closely linked to GEF Strategic Objectives. Other non-GEF interventions were also indicated. However, the project document is silent on linkages to the Bali Strategic Plan. While this is the case the project by definition and design involves South-South and North-South knowledge sharing was discussed within the context of project implementation but not presented as a strategic imperative.	HS

Criterion	Summary Assessment	Rating
3. Relevance to regional, sub-regional and national environmental priorities	The project is relevant to the work of UNEP's African Ministerial Conference on the Environment (AMCEN), the Secretariat of the Pacific Community (SOPAC), the Caribbean Community (CARICOM), and the Forum of Ministers of Latin America and the Caribbean	HS
4. Complementarity with existing interventions	The project has collaborated with a range of related initiatives and bodies such as the Adaptation Committee and LDC Expert Group (LEG) established under the UNFCCC. These initiatives include a focus on strengthening the capacities of non-LDC to integrate climate change adaptation into medium- to long-term planning	HS
B. Quality of Project Design	While there were issues associated with the formulation of some of the elements of the PRF (see chapter 4), as well as human rights and indigenous people, in general, the project was reasonably well designed	MS
C. Nature of External Context	Project reports do not indicate any adverse impact from natural disasters. Neither were political changes, including elections and changes in government, discussed as having impacted project operations.	F
D. Effectiveness²¹		MS
1. Availability of outputs	In general, the quality of the outputs produced is considered to be satisfactory. While capacity building activities by the project were strong on technical content, they often did not incorporate adequate learning techniques and may have been less effective. The project provided a relevant opportunity to disseminate capacity building and knowledge products developed by UN Agencies and other partners. Regional training workshops facilitated South-South cooperation and promoted engagement with project partners. Some concern was reported of workshop content clarity. Activities designed to engage the private sector proposed under output 3.2. as a "pilot public-private platform" on private sector investment in adaptation, were initiated but had to be discontinued for strategic reasons	S

²¹ Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. Any adjustments must be fully justified.

Criterion	Summary Assessment	Rating
2. Achievement of project outcomes	<p>The project promoted inter-sectoral collaboration from the very beginning by supporting participation not only of the traditional climate change departments but also involving other line ministries.</p> <p>The project's contribution to strengthening national frameworks to advance NAP processes has been confirmed. Some countries are already implementing measures that were influenced by technical knowledge acquired through the project. While some progress is being made towards strengthening of institutional and technical capacities, the evidence from the post project survey suggests that project countries have mostly found the training programs and other support activities useful with a limited number of countries using tools provided by the project. It would seem therefore that those contributions do not eliminate the need for additional support and capacity building activities in non-LDCs. To achieve outcomes the results must move beyond the support received from the project as being useful to advance their NAP processes to some tangible actions by the countries in preparing adaptation plans. This applies to outcome 2 as well. This evaluation does not have the evidence of a critical mass of participants using the tools and methods provided by the project to prepare adaptation plans.</p> <p>Collaboration between UNDP and UNEP seemed to have been remarkably effective. Good communication and shared mission were considered the main contributing factors to effective collaboration.</p>	MS
3. Likelihood of impact	<p>Progress has been made towards the development of institutional capacity and progress towards the preparation of national adaptation plans in some cases. In other cases, the project has assisted participating governments to develop national adaptation plans and is making progress towards the intermediate state which will enable them to adequately plan for and adapt to the effects of climate change. In that regard, progress, albeit limited, is being made towards the stated impact of reducing vulnerability to climate change through effective medium- to long-term planning for climate change adaptation. It is clear though that this objective could not be fully achieved without infusion of internal resources and additional support from external sources.</p>	ML
E. Financial Management	<p>The UN administrative standards were followed. In the case of UNEP, the budget planning and expenditure sheets look adequate albeit incomplete. Project revisions were well documented and fully transparent. Co-financing information provided seems adequate. Co-financing information provided seems to indicate a very effective resource mobilization effort. However the information provided does not indicate the sources of the co-financing reported. The evaluation The PIR reports and interviews with the project team confirmed that there was effective communication within the project team and this includes the Fund Management Officers. The evaluation team has not seen the full project expenditures from UNDP. The UNEP reports were adequate. UNEP does not conduct audits of internally executed projects. The UNDP audit which was budgeted for is not available</p>	MS
F. Efficiency	<p>In general, efficiencies were either built into project design or have been realised through the use of proven models such as Training of Trainers (ToT) which allowed the project to roll-out activities to a</p>	S

Criterion	Summary Assessment	Rating
	wider stakeholder group. The project also took advantage of existing meetings and information platforms to create awareness. The use of partnerships contributed to both effectiveness and efficiency. The key inefficiency identified was slow project start-up for a variety of reasons, including lateness in project approvals and other administrative delays, including the late appointment of UNEP's technical specialist.	
G. Monitoring and Reporting	Monitoring plans were included in both UNDP and UNEP project documents. Milestones seem adequate for measuring implementation progress. Project implementation reports (PIRs) provided for this evaluation were found to be adequate. UNEP Progress reports end in 2017 and do not seem to cover the entire project period. Besides a project assessment undertaken at the end of the project, no final project report was prepared.	MS
1. Monitoring design and budgeting	M&E design followed UN standard monitoring and evaluation procedures. The original PRF included verifiable indicators and means of verification for the project objectives. Both MTR and Terminal Evaluation, financial reporting, timing and responsible parties were included in the M&E plan in both project documents. The project budget included the costs for M&E activities.	S
2. Monitoring of project implementation	UNDP does not monitor at the output level, it is not clear how the achievement of outputs in the results framework was tracked and how tracking of the implementation of activities could be linked to the production of outputs and how a collection of outputs led to the achievement of a direct outcome and how the combination of outcomes show progress towards impact.. Indeed, the same applies for UNEP. While UNEP monitors at the output level there is no systematic reporting, even with the TOC, of how progress from outputs towards outcomes and ultimate impact was described. .	MS
3. Project reporting	Compliance with reporting requirements at the project level was adequate. As required by UNEP, progress reports were prepared, but only four half-yearly reports ending in June 2017 could be found. Regular reporting was provided to the Project Board meetings. 6 PIRs were prepared which mostly reported at the project output level. Few problems were identified in these PIR reports.	MS
H. Sustainability²²		ML
1. Socio-political sustainability	The principal means by which the project attempted to sustain the results beyond its duration was the creation of knowledge, skills and tools necessary for countries to continue to advance their NAP processes. In spite of verbal government commitment to adaptation planning, the evaluation does not have any evidence of the government commitment to fund future adaptation activities.	ML
2. Financial sustainability	The mobilization of additional financial resources from the Green Climate Fund (GCF) and bilateral sources (e.g. Germany) is seen as a measure contributing to the sustainability of the project's outcomes. A number of countries supported their request for GCF funding with information and products derived from the technical assistance provided by the project. While this is the case, the evaluation does not have enough evidence to show that	ML

²² The overall rating for Sustainability will be the lowest rating among the three sub-categories

Criterion	Summary Assessment	Rating
	governments have or will allocate resources to effectively support adaptation planning in the respective countries and it is not clear to the evaluation that external funding alone will provide sustainability to the effort at the national level	
3. Institutional sustainability	The building of partnerships and the capacity building activities were instrumental in developing institutional capacity. Trained staff in the various ministries and government departments armed with the tools and guidelines developed during this project will ensure that the necessary capacity exists in these institutions. The development of web-based training materials was expected to promote the use of the NAP toolkits beyond the lifespan of the project.	L
I. Factors Affecting Performance and Cross-Cutting Issues²³		
1. Preparation and readiness	No major changes were made to the project document. The preparatory phase of the project was used to establish the NAP-GSP project team and the project management system. The Inception meeting took place in November 2016 where decisions were made to support all non-LDCs that requested support. The Inception meeting was important to build ownership for the project results and to seek input on the work plan for the project	S
2. Quality of project management and supervision ²⁴	The project was jointly implemented; however, the governance and management structure were simply constructed and seemed appropriate. The roles and responsibilities of the two implementing organizations were clearly defined. A strategic decision-making body of the project, a Project Board, and a technical decision-making body, Technical Advisory Group steered the project to its logical conclusion. Evaluation Team interviews confirmed the positive contribution of the Technical Advisory Group (TAG) to the project. A Technical Support Unit provided technical support in the delivery of the project's objective and outcomes.	S
3. Stakeholders participation and cooperation	Key stakeholders in the non-LDCs NAPs project are mainly UNDP and UNEP as Implementing Agencies. Other organizations participating in the project as responsible parties and collaborative partners include: IFAD, FAO, GIZ, GWP, UNDRR, UNITAR, and WHO, in-country missions, bi-lateral organizations, GEF Focal Points, and regional organizations. Project partners interviewed for this terminal evaluation praised the effective collaboration among UN Agencies and international organizations who participated in this project.	S

²³ While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as cross-cutting issues as they relate to other criteria. Note that catalytic role, replication and scaling up are expected to be discussed under effectiveness if they are a relevant part of the TOC.

²⁴ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the overall supervision/technical backstopping provided by UNEP, as the Implementing Agency.

Criterion	Summary Assessment	Rating
4. Responsiveness to human rights and gender equity	<p><u>Gender:</u> Gender-disaggregated indicators and targets were included in the results framework of the project at the PPG phase. However, there was no discussion on participation of indigenous people and there was only little discussion on CSOs and NGO.</p> <p><u>Human Rights:</u> The project was designed to align with national policies, strategies and priorities in participating countries. There are no reports available to the evaluation team to the effect that individual rights have been violated in this project. Instead, stakeholders benefitted from training and additional institutional support. Additionally, extensive consultation was undertaken with a diverse range of stakeholders in each of the participating countries</p>	MS
5. Country ownership and driven-ness	The design of the NAPs-GSP project benefitted from information collected from country representatives across multiple regions. By participating in the project, over 100 countries demonstrated governments' interest in developing the requisite capacity for advancing medium- to long-term adaptation planning in non-LDCs. Suggestions and recommendations offered by project participants are indications that participants are carefully assessing the applicability of the knowledge and information provided to their national circumstances. The evaluation is unable to ascertain the extent to which country ownership is demonstrated through the allocation of national resources to support the adaptation planning processes	S
6. Communication and public awareness	Results from the project were disseminated through the knowledge and information systems established on existing platforms proposed in Output 3.1. In addition, the involvement of UNDP and UNEP in a number of established information sharing networks and forums such as the Global Adaptation Network was instrumental in disseminating project knowledge and lessons as well as other regional networks through the implementation of output 3. Communities of practice were established to promote the sharing of knowledge, information and lessons learned among non-LDCs	S
Overall Project Rating		S

226. The evaluation has identified a few lessons learned from the project's implementation and made some recommendations. These are presented in sections 6.2 and 6.3 below.

6.2 Lessons Learned

Lesson 1: Based on the interviews conducted by the evaluation team with country participants the need for strong inter-institutional coordination, including a leading role for the Ministries of Finance and Planning was indicated. Future projects should endeavour to provide support for effective coordination mechanism at the national level of the key players to facilitate adaptation planning. **Engagement of a wide cross-section of stakeholders at all levels is important in projects where the achievement of expected long-term impacts is highly dependent on their actions.**

227. **Lesson 2:** The private sector is a key player in climate change adaptation. Yet, while this project had proposed the implementation of pilot activities with the private sector, the results

achieved were only limited. Effective planning and implementation of adaptation measures requires strong involvement of the private sector, and civil society, including community-based and youth organizations. The non-LDC NAP support project focus on government actors should be expanded in future initiatives to include more diverse stakeholders. **The role of the private sector and civil society, including community-based and youth organizations are extremely important in national adaptation planning, and should be treated as such with their participation clearly defined and translated into implementable activities.**

Lesson 3: NAP-GSP was designed and implemented by UNDP and UNEP with support from a host of other UN agencies including UNITAR, WMO and FAO. Such collaboration was cost-effective and provided the opportunity for project participants to engage on a variety of sectoral issues. **Effective partnership among UN agencies has resulted in cost-effective and efficient program delivery and represents a good example of collaboration and coordination among UN agencies and a valuable model for future program delivery within the UN system.**

Lesson 4: The scheduling and sequencing of training activities under the non-LDC NAP support project was not optimal and may have affected the results from these training events. E-tutorials were not provided to participants well in advance of the workshops. While capacity building activities in the project were quite strong on technical content, they often did not incorporate adequate learning techniques and may therefore have been less effective (paragraphs 116 and 119). Some concern was reported of workshop content clarity. Some participants claimed they did not fully understand what was presented making it a challenge to apply the knowledge with confidence. Some considered regional workshops as too generic which could be enhanced by covering success stories and constraints that are visible globally and within regions as well as critical technical limitations of adaptation planning. **To that effect setting clear learning objectives and tailored techniques in Climate Change Adaptation programs produce more effective (learning) outcomes.**

6.3 Recommendations

Recommendation #1:	UNEP and UNDP should consider implementing a follow-up project to complement the national climate change adaptation processes. The project should ensure that key issues raised by survey participants which involve: a) establishing a network across and beyond regions to increase South-South knowledge exchange and peer-to-peer learning; b) supporting the update of the NAP-GSP Country Briefing on NAPs to account for latest country progress and successes; and c) strengthening the NAP-GSP's regional training workshops, in terms of time and content including diversifying the NAP-GSP support portfolio by offering more webinars should be addressed..
Context/comment:	Based on the results of the post-project survey which made several recommendations and suggestions, it would seem that capacity gaps persist and additional capacity building activities are required. For example, it was frequently stated by participants that workshops were too short and could have been lengthened. Some concern was reported of workshop content clarity. Some participants also claimed they did not fully comprehend what was presented, making it a challenge to apply the knowledge with confidence. There was also a view that the inclusion of other critical local stakeholders in national workshops would have enhanced capacity development.

Priority Level ²⁵:	Important recommendation
Responsibility:	UNDP and UNEP
Proposed implementation time-frame:	To be implemented as a follow-up to this project but must be done expeditiously if current momentum is to be maintained

Recommendation #2:	In any follow-up project or initiatives on national climate change adaptation processes, the UNEP/UNDP project team should adopt a more inclusive approach and expand stakeholder engagement to youth, civil society and the private sector.
Context/comment:	The private sector is a key player in climate change adaptation. Yet, while this project had proposed the implementation of pilot activities with the private sector, the results achieved were only limited. Effective planning and implementation of adaptation measures requires strong involvement of the private sector, and civil society, including community-based and youth organizations. The non-LDC NAP support project focus on government actors should be expanded in future initiatives to include more diverse stakeholders.
Priority Level:	Opportunity for improvement
Responsibility:	UNEP and UNDP
Proposed implementation time-frame:	To be implemented during the next phase of this project.

²⁵**Critical recommendation:** address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.

Important recommendation: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.

Opportunity for improvement: comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.

Annex 1. Evaluation TORs (without annexes)

Section I: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

GEF Project ID:	5683	GEF Agency Project ID:	UNEP: 01247 UNDP: 5347
Implementing Agencies:	UNEP and UNDP	Executing Agency:	UN environment Regional Office for Asia and the Pacific (ROAP)
Sub-programme:	Climate Change	Other Executing Partner(s):	UNDP, IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries.
UN Environment approval date:	July 2016	UNDP approval date:	March 2015
GEF approval date:	March 2015	Project type:	Full Size Project (FSP)
GEF Operational Programme #:		Focal Area(s):	Climate Change (Adaptation)
Trust Fund	Special climate change Fund (SCCF)	Executing Agency/ Implementing Partner:	UN Environment /ROAP, UNDP
Expected start date:	January 2015	Actual start date:	February 2016
Planned completion date:	December 2017	Actual completion date:	Q2. 2019 (operational completion)
Planned project budget at approval:	USD 46,300,000	Actual total expenditures reported as of June 2019:	USD 2,169,667
Cost to the SCCF:	USD 4,500,000	SCCF expenditures reported as of June 2019:	USD 2,250,000
Expected Full-Size Project co-financing:	USD 41,800,000	Secured Full-Size Project co-financing as of June 2019:	?
Project Preparation Grant:	USD 150,000	Project Preparation Grant - co-financing:	N/A
First disbursement:	UNDP: April 2014 UNEP: February 2016	Date of financial closure:	N/A
No. of revisions:	1	Date of last revision:	August 2017
No. of Project Board Meetings:	4	Date of last Project Board meeting:	February 2019
Mid-term Review/ Evaluation (planned date):	Q1. 2016	Mid-term Review/ Evaluation (actual date):	Q2. 2018
Terminal Evaluation (planned date):	September 2019	Terminal Evaluation (actual date):	Q3. 2019
Coverage:	Non-LDC Developing Countries	Coverage - Region(s):	Global

2. Project rationale

1. Climate change and associated climate variability pose a serious challenge to poverty reduction efforts and sustainable development in developing countries. Increasing temperatures, changing

rainfall patterns, rising sea levels and an increasing frequency and intensity of extreme weather events adversely affect inter alia ecosystem functioning, water resources, food security, infrastructure and human health. In developing countries, these impacts are projected to slow down economic growth, and the capacity of these countries to manage the impacts of climate change will continue to be overwhelmed, likely reversing years of progress and achievements made on Millennium Development Goals (MDGs).

2. In non-Least Developed Countries (non-LDC)²⁶, national and sectoral planning processes - a central means by which public policy responses are formulated, budgeted and implemented, have not systematically incorporated climate change risks and opportunities. As a result, non-LDC developing countries need to consider medium- to long-term planning for low emissions and climate resilient development within their national priorities. The primary problem, however, is that these countries have not had adequate institutional structures, knowledge and the technical capacity required for a functional, cross-sectoral and iterative process that sufficiently incorporates climate change into national planning.

3. At the 16th session of the Conference of the Parties (COP-16) of the United Nations Framework Convention on Climate Change (UNFCCC) held in Cancun, Mexico (2010), the National Adaptation Plan process was established under the Cancun Adaptation Framework (CAF) to enable developing countries to formulate and implement National Adaptation Plans (NAPs). Under the UNFCCC, all signatories to the Convention are required to produce periodic National Communications (NCs) which report national greenhouse gas inventories and describe national activities to implement the Convention. This is one of several processes that have created both the political and financial space for countries to make systematic efforts to mainstream climate change into national development planning processes.

4. The main barriers that have been known to constrain developing countries from initiating and sustaining their NAP processes are summarised below:

- Planning ministries in developing countries seldom have access to well-organized and robust scientific data or evidence-based technical guidelines on managing climate change risks;
- The mandate for addressing climate change often lies within ministries of environment/natural resources rather than ministries of development planning;
- Planning officials are often not sensitised on the complex nature of climate change and its associated effects, consequently planning ministries have not been adequately capacitated to include climate change risks within development planning processes;
- There is often a disconnect between political cycles, planning cycles and the long-term nature of climate change concerns;
- Climate-resilient development has not always been considered a national priority, and budgetary support to advance adaptation planning and implementation is also not prioritised; and
- There have been relatively few collaborative partnerships that exist between developing country governments and global/regional institutions, networks and platforms, to address adaptation needs.

5. The funding required for climate change adaptation is also quite considerable and overcoming financial barriers to support adaptation is therefore of paramount interest. In developing countries, it has been estimated that over the period 2010 - 2050 the necessary adaptation investments could average US\$ 30-100 Billion per year. This funding gap is especially pronounced in non-LDCs due to their limited options to access financial support for adaptation initiatives.

6. At the UNFCCC COP-18 held in Doha, Qatar (2012), Parties requested the Global Environmental Facility (GEF) to consider how to support non-LDC developing countries advance their NAP processes through the Special Climate Change Fund (SCCF). Through the GEF Global Support Programme (GSP), SCCF resources have been set up to finance a support mechanism that is focused on three main pillars,

²⁶ In the context of this project, the term 'non-LDCs' is used to refer to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC. These countries are not a specific grouping under the UNFCCC parties, rather they are eligible for SCCF resources hence eligible to receive support from this project.

namely: (i) institutional support; (ii) technical capacity building; and (iii) knowledge brokerage in developing countries.

7. **Institutional Coordination Mechanisms:** The multi-faceted and complex nature of climate change requires its integration across multiple sectors and levels of government in a coordinated manner. While most non-LDCs developed their adaptation plans during National Communications and Technology Needs Assessments, most of these plans were limited to a single ministry domain, and climate change was not fully integrated across all economic sectors' planning. Climate change was therefore being considered in a cursory manner during planning as well as budgeting processes.

8. **Technical Capacity for Adaptation Planning:** Planning ministries in developing countries often lack well-organized, user-friendly and robust scientific data, and evidence-based technical guidelines on managing climate change risks. In some cases, they have not commanded the requisite national ownership when developing climate policies and strategies. As a result, appropriate measures for medium- to long-term climate change adaptation are seldom included in national, sectoral and local policies and plans.

9. **Access to Information and Knowledge:** For countries that share borders, regional cooperation is extremely important as climate change does not respect political boundaries. However, there have been limited partnerships, communication and outreach strategies between developing country governments and regional/global institutions, networks and platforms for addressing adaptation needs in a collaborative manner. Efforts to share knowledge, best practices and lessons learned through South-south exchange have accordingly been limited.

10. This project ("Assisting non- LDC developing countries with country-driven processes to advance National Adaptation Plans") focuses on developing countries, which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC. This includes middle income countries which are not only challenged by the impacts of climate change but are themselves contributors to global greenhouse gas emissions. Through a Global Support Programme, SCCF resources have been used to establish a support mechanism for assisting developing countries to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks.

11. The support provided by UNDP and UNEP includes experience and technical expertise that exists within the two organisations, in assisting countries to pursue climate-resilient development and making sure that adaptation measures are environmentally sound and sustainable. UNDP and UNEP recognize that the SCCF-funded programme will operate in a time where, regardless of this programme, countries are likely to escalate and improve their ongoing efforts towards low-emission and climate resilient development plans, policies and programmes at national and sub-national levels. The project therefore builds upon current initiatives and platforms that were established for National Communications and Technology Needs Assessments, to enhance the coordination of climate change efforts in a manner that is country-driven, iterative and participatory.

12. This evaluation will assess project performance against the approved results framework in the Project Document, for the period leading to operational closure (Q3. 2019), and based on the evaluation criteria detailed in section B.4 of this TOR.

3. Project objectives and components

13. The overall objective of adaptation is to reduce vulnerability to the impacts of climate change and associated climate variability by minimizing, reducing or avoiding risks. The problem is that many non-LDC developing countries have not had the requisite coordination mechanisms, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process for mainstreaming climate change into national development planning.

14. The **objective** of the project is **to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs**. The SCCF-financed project supports targeted countries to advance their NAP processes by strengthening institutional and technical capacities as well as increasing access to the sharing of knowledge and lessons learned on adaptation planning through improved North-South and South-South collaboration. The project intended to address this objective using the three approaches (components) described below:

Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)

15. This component was overseen by UNDP and focused on in-country support. Under this component, assistance was provided to countries based on demand, taking into consideration the country priorities representing different stages of the NAP process. This tailored approach would address the concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes. The project sought to support countries through: (i) taking stock of information and processes of relevance to the NAP and identifying gaps; (ii) providing technical training to address those gaps; and (iii) providing support towards developing country-specific NAP roadmaps. The lessons learned from delivering one-on-one support would then feed into the training package to be developed under Component 2, and further disseminated under Component 3 in order to ensure that lessons learned from NAP preparation and implementation, including from baseline projects, would be captured.

Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)

16. The baseline was that planning ministries within non-LDCs seldom had access to evidence-based technical tools, methods, guidelines and supplementary material (referred to as 'toolkits') for integration of adaptation priorities into medium- to long-term development planning, despite the existence of a number of toolkits applicable to the NAP process. Under Component 2, support was provided to non-LDCs to access an improved package of toolkits to cover topics such as: (i) development and application of climate scenarios; (ii) vulnerability and risk assessments; (iii) cost-benefit analyses of adaptation interventions; (iv) Climate Public Expenditure and Institutional Reviews (CPEIRs); and (v) financial costing of adaptation interventions. This would enhance the capacity of non-LDCs to undertake the NAP process through improving the availability and awareness of the toolkits, as well as increasing national stakeholders' technical skills to apply the toolkit to inform medium- to long-term adaptation planning.

Component 3. Knowledge dissemination to enhance international and regional cooperation (overseen jointly by UNDP and UNEP)

17. While various platforms exist for sharing information they are not necessarily tailored enough so that information a) is specific or applicable to the country's own NAP process; b) demonstrates the value of NAP to reduce vulnerability; or c) showcases how challenges such as sustainability and access to finance can be addressed. Under this Outcome, the SCCF-financed project focused on making existing knowledge widely available. The project would build upon existing communities of practice to promote South-South and North-South cooperation. Sustained access to knowledge and lessons learned generated/collated by the project is expected to help to maintain the technical and institutional capacities required by countries to undertake the NAP process. Responding to the concern related to access to finance, this component would also pilot a public-private platform in a small number of countries, to facilitate private sector investment in adaptation. Best practices and lessons learned were to be disseminated to inform potential replication in other countries.

18. Table 2 below presents a summary of the results framework of this project:

Table 2. Results framework (abridged version)

Component	Programmed Outputs	Expected Outcomes
Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP).	<p>Output 1.1 Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.</p> <p>Output 1.2 Institutional coordination and financial arrangements are strengthened/established to support NAP process</p> <p>Output 1.3 NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation</p>	Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.

Component	Programmed Outputs	Expected Outcomes
Component 2: Training on relevant tools and methods to support effective climate planning (Overseen by UNEP).	<p>Output 2.1 Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.</p> <p>Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.</p> <p>Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.</p>	Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.
Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).	<p>Output 3.1 Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (Overseen by UNEP).</p> <p>Output 3.2 South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).</p>	Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.

4. Executing Arrangements

19. At a global level, the project was overseen by both UNDP and UNEP as GEF **Implementing Agencies** (IAs). However, there were two distinct project documents that outlined what each agency would be responsible for within the framework of a common logical framework. Close collaboration between UNDP and UNEP ensured linkages to other related projects, which were either under development or commencing activities during the implementation of this SCCF-financed project.

20. Outcome 1 and Outcome 3/Output 3.2 were implemented following UNDP's Direct Implementation Modality (DIM)²⁷ and the UNDP Bangkok Regional Hub (BRH) functioned as the responsible party. The UNDP-led project components were overseen by the UNDP-GEF Task Manager. A **Lead Technical Specialist** from the UNDP global adaptation team was responsible for overseeing the overall UNDP NAP portfolio.

21. Outcome 2 and Outcome 3/Output 3.1 were implemented by UNEP under the responsibility of the Policy Division. The UNEP-led project components were overseen by a UNEP GEF Task Manager whereas the day-to-day execution of the project was led by a **Technical Specialist** based in UN Environment Regional Office for Asia and the Pacific (ROAP). Teamwork with the global UNDP adaptation team who were executing the project in Bangkok was envisaged through this arrangement.

22. UNDP-GEF provided financial and technical oversight services for the UNDP-implemented outcomes and outputs of the project. UNDP was expected to ensure that project monitoring and evaluation ran according to the agreed schedule, and in line with UNDP and GEF requirements. Similarly, UNEP was expected to provide technical oversight services for the UNEP-implemented outcomes and outputs of the project, including management of its financial resources and tracking of indicators.

23. A **Project Board** was established as the strategic decision-making body of the project, and was comprised of consisting of representatives from UNDP (co-chair), UN Environment (co-chair) and the

²⁷ For more information on the UNDP DIM modality, please visit: <https://info.undp.org/global/popp/frm/pages/direct-implementation-dim-modality.aspx>

GEF Secretariat. This board was expected to provide overall guidance and direction to the project, and also be responsible for making decisions on a consensus basis when high-level strategic guidance was required, including the approval of major revisions in project strategy or implementation approach. The board would review progress towards project implementation at regular intervals, or at the request of the Lead Technical Specialist. The board was also required to approve annual work plans prepared by the Lead Technical Specialist, with the assistance of the Project Management Unit.

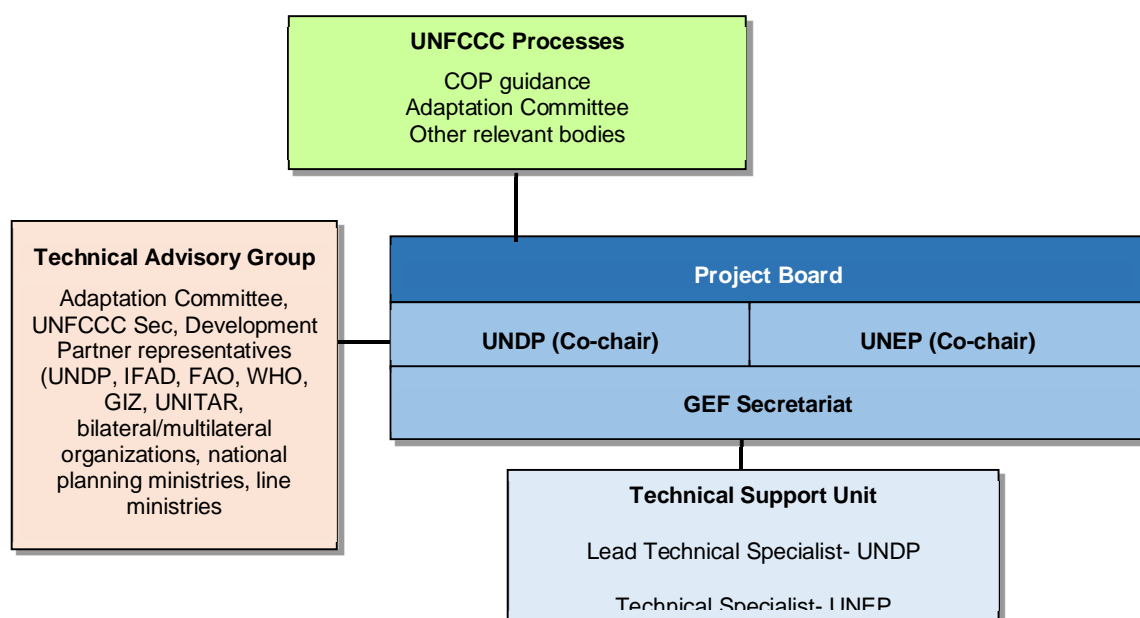
24. The **Technical Advisory Group** was established to provide technical guidance to project activities, including review of the annual work plan with recommendations, for endorsement by the Project Board. The Technical Advisory Group was expected to comprise of representatives from the Adaptation Committee, the UNFCCC Secretariat and development partners engaged in activities to support the NAP process in countries (e.g. UNITAR, GIZ, FAO, IFAD, WHO, etc). These partners would assume responsibility for the delivery of project Outputs based on agreed Terms of Reference.

25. A **Technical Support Unit** was set up to provide technical support in the delivery of the project's objective and outcomes. The unit comprised of: Lead Technical Specialist (UNDP), Technical Specialists (UNEP), and a part-time Portfolio Analyst (UNDP). Additional technical expertise, communication and logistical support was contracted on a consultancy basis.

26. **National partners** included relevant planning ministries (e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).

27. Project monitoring was to be conducted in accordance with established UNDP, UNEP and GEF procedures, and undertaken by the project team under the oversight of the UNDP-GEF unit based in Bangkok and UNEP Division for Programme Implementation (DEPI). The Annual Project Review/Project Implementation Reports (APR/PIR) would combine UNDP, UNEP and GEF reporting requirements and was to be completed by the project following a prescribed report format. The UNEP Evaluation Office in Nairobi is responsible for conducting the terminal evaluation. Figure 1 below illustrates the project's operational structure.

Figure 1: Project operational structure



5. Project Cost and Financing

28. This is a Full-Size Project (FSP) with funding from the GEF Special Climate Change Fund (SCCF). The SCCF complements the Least Developed Countries Fund (LDCF) – a fund established by GEF to support the world's most vulnerable countries in their efforts to adapt to the effects of climate change. Unlike the LDCF, the SCCF is open to all vulnerable developing countries, and it funds a wider range of activities related to climate change, although Adaptation is the top priority. LDCF/SCCF funds provide

financing only for **additional costs** (i.e. new activities/changes to planned activities that are necessary to adapt to climate change) as opposed to incremental costs of a project.

29. SCCF resources were used to establish a Global Support Programme (GSP) to promote medium- to long-term planning for climate change adaptation in non-LDC developing countries. This project received direct funding from the SCCF totalling **USD US\$ 4,500,000** in total – US\$2,250,000 for administration by UNEP and US\$2,250,000 for administration by UNDP. Table 4 below shows the breakdown of the project's cost across the expected outcomes (based on the data in the Project Document of March 2015).

Table 3. Project estimated budget by Outcome

SCCF funding	UNDP	UNEP	Total
Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP)			
Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets	1,388,889		1,388,889
Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).			
Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.		1,856,992	1,896,992
Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).			
Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.	674,444	186,342	880,786
Project management costs	186,667	146,666	333,333
M&E		60,000	
Total (US\$)	2,250,000	2,250,000	4,500,000

30. In addition, in-kind contribution estimated at **US\$ 41,800,000** was to be provided through various grants (see Table 4), bringing the overall project budget to **US\$ 46,300,000** for a planned duration of 36 months.

Table 4. Project co-financing initiatives

Co-financing Initiative	Type of Co-financing	Amount (\$)
UNDP – Low-Emission Capacity-Building (LECB) Programme	Grant	15,000,000
UNDP – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)	Grant	8,000,000
UNDP – Japan-Caribbean Climate Change Partnership	Grant	15,000,000
UNITAR – One UN Climate Change Learning Partnership (UN CC-Learn)	Grant	3,000,000
UNEP – Global Adaptation Network, Asia-Pacific Adaptation Network, REGATTA, WARN-CC	Grant	800,000
Total (US\$)		41,800,000

6. Implementation Issues

31. There were no significant implementation issues identified in the Progress Implementation Report (PIR) or during the pre-evaluation briefing with the project management at UNEP and UNDP. The performance assessment of most of the criteria in the in the latest Progress Implementation Report (PIR) are rated "Satisfactory". The Mid-Term Review Report (July 2018) also gave the impression that

the project was on track to achieving its set targets, with no major red flags noted. One of the risks identified in the UNEP GEF PIR Fiscal Year 2018 however, refers to sub-optimal co-financing actualized by the project partners, as compared to the initial co-finance commitments made at the project's inception. The evaluation will help to determine the extent to which this funding shortfall might have affected effectiveness in project implementation.

Section II. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Key Evaluation principles

32. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

33. **The “Why?” Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

34. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between what has happened with, and what would have happened without, the project. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

35. **Communicating evaluation results.** A key aim of the evaluation is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultants which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

8. Objective of the Evaluation

36. Although the project has been jointly implemented by UNEP and UNDP, the Evaluation Office of UNEP shall take the lead in overseeing the evaluation process, while maintaining ongoing consultations with the UNDP counterpart through a collaborative approach.

37. In line with the UN Environment Evaluation Policy²⁸, the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

38. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge

²⁸ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

sharing through results and lessons learned among: UN Environment, UNDP, GEF and the main project partners (Food and Agriculture Organization (FAO), World Health Organization (WHO), International Fund for Agricultural Development (IFAD), German Corporation for International Cooperation (GIZ), United Nations Institute for Training and Research (UNITAR), United Nations Office for Disaster Risk Reduction (UNISDR), Global Water Partnership (GWP), UN Habitat, Secretariat of the Pacific Regional Environment Programme (SPREP), Global Adaptation Network (GAN), West Asia Regional Network on Climate Change (WARN-CC), Asia Pacific Adaptation Network (APAN), Regional Gateway for Technology Transfer and Climate Change Action (REGATTA), and UNFCCC national focal points. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

39. Evaluations for LDCF/SCCF projects should also incorporate the results-based management (RBM) framework that has specifically been developed for monitoring and evaluating adaptation projects i.e. use of the GEF-devised Adaptation Monitoring and Assessment Tool (AMAT) for LDCF/SCCF adaptation activities.

9. Key Strategic Questions

40. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and UNDP, to which the project is believed to be able to make a substantive contribution:

- (i) From the perspective of the project beneficiaries, what were the most significant gains achieved from having the project jointly implemented by UNEP and UNDP?
- (ii) Access to finance to facilitate moving from adaptation planning to implementation is a major concern raised by most non-LDCs. To what extent has the project succeeded in leveraging (domestic and/or external) funding sources to support the countries in sustaining project Outcomes post closure?
- (iii) Another key challenge related to adaptation initiatives is the monitoring framework necessary for informing an iterative planning and implementation process. To what degree of success has the project put in place methods that can assist non-LDCs with monitoring, reporting, and verifying impacts of adaptation interventions?
- (iv) At COP-17 Parties agreed that adaptation planning should follow a gender-sensitive, participatory approach, taking into consideration vulnerable groups, communities and ecosystems. To what extent did the project succeed in mainstreaming Gender, Environmental and Social Safeguards considerations into the NAP process during implementation?

10. Evaluation Criteria

41. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in **nine categories**: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. Evaluation of LDCF/SCCF require, at a minimum, the following criteria: Relevance, Effectiveness, Efficiency, Results (direct project outputs, short- to medium-term outcomes, progress toward longer term impacts, replication, and local effects) and Sustainability; these are all duly captured in the criteria/sub-criteria outlined in this section.

A. Strategic Relevance

42. The evaluation will assess, in line with the OECD/DAC definition of relevance, ‘the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor’. The evaluation will include an assessment of the project’s relevance in relation to the mandates of UNEP and UNDP, and its alignment with these agencies’ policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

Alignment to the UNEP Medium Term Strategy²⁹ (MTS) and UNDP Strategic Plan³⁰

43. The evaluation should assess the project's alignment with the UNEP MTS and UNDP Strategic Plan for the period under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant strategic priorities and programmes of work.

Relevance to Regional, Sub-regional and National Environmental Priorities

44. The evaluation will assess the extent to which the intervention is suited/responding to the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented.

Complementarity with Existing Interventions

45. An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives that address similar needs of the same target group. The evaluation will consider if the project made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies, and avoided duplication of efforts. Linkages with other interventions should be described, and instances where UNEP and UNDP comparative advantage has been particularly well applied should be highlighted.

Alignment with the UNFCCC COP Priorities

46. The Evaluation will assess the extent to which the project was aligned to the evolving UNFCCC COP decisions throughout the implementation of its activities.

Factors affecting this criterion may include:

- o Stakeholders' participation and cooperation
- o Responsiveness to human rights and gender equity
- o Country ownership and driven-ness

B. Quality of Project Design

47. The quality of project design is assessed using a template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- o Stakeholders participation and cooperation
- o Responsiveness to human rights and gender equity

C. Nature of External Context

48. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

a) Delivery of Outputs

49. The evaluation will assess the project's success in achieving milestones and producing programmed outputs (availability of products and services, gains in knowledge/abilities, among

²⁹ UN Environment's Medium-Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

³⁰ The Strategic Plan sets out the direction for UNDP, optimized to help countries achieve the eradication of poverty and significant reduction of inequalities and exclusion

intended beneficiaries which result from the completion of activities) as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided to show the comparison between the original and the reformulation of the outputs, for transparency. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- o Preparation and readiness
- o Quality of project management and supervision³¹

b) Achievement of Direct Outcomes

50. The achievement of direct outcomes (the use/uptake/adoption/application of an output by intended beneficiaries, observed as changes in institutions or behaviour, attitude or condition) is assessed as performance against the direct outcomes as defined in the reconstructed³² Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in (a), above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between the intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP/UNDP 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised.

Factors affecting this criterion may include:

- o Quality of project management and supervision
- o Stakeholders' participation and co-operation
- o Responsiveness to human rights and gender equity
- o Communication and public awareness

c) Likelihood of Impact

51. Based on the articulation of longer-term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-term impacts. The UNEP Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, (<https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach/theory-change>) and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC have held.

52. Whereas the GEF M&E Policy emphasizes a project's or program's global environmental benefits, the LDCF/SCCF requires analysis of a project's adaptation benefits. With regard to Impact, the

³¹ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

³² The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of [UNEP] projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

evaluation will focus on the project's contributions to increasing adaptive capacities and reducing vulnerabilities to climate change effects among the participating countries.

53. Any unintended positive effects should be identified and their causal linkages to the intended impact described. The evaluation will also consider the likelihood that the intervention may have led, or contributed, to unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.

54. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication³³ as part of its Theory of Change, and the factors that are likely to contribute to longer term impact.

55. Ultimately UNEP, UNDP and their partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by the Sustainable Development Goals³⁴ and/or the high-level results prioritised by the United Nations Framework Convention on Climate Change (UNFCCC), Hyogo Framework for Action (HFA), GEF Global Support Programme, Green Climate Fund (GCF), etc.

Factors affecting this criterion may include:

- o Quality of Project Management and Supervision (including adaptive management)
- o Stakeholders participation and co-operation
- o Responsiveness to human rights and gender equity
- o Country ownership and driven-ness
- o Communication and public awareness

E. Financial Management

56. Financial management will be assessed under two themes: **completeness** of financial information and **communication** between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The evaluation will verify the application of proper financial management standards and adherence to UNEP and UNDP financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include:

- o Preparation and readiness
- o Quality of project management and supervision

F. Efficiency

57. In keeping with the OECD/DAC definition of efficiency the evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the **cost-effectiveness** and **timeliness** of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to

³³ Scaling up refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer-term objective of pilot initiatives. Replication refers to approaches being repeated, or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

³⁴ A list of relevant SDGs is available here <https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach/sustainable-development-goals>

achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

58. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UNEP and UNDP environmental footprint.

59. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to the implementing parties.

Factors affecting this criterion may include:

- o Preparation and readiness (e.g. timeliness)
- o Quality of project management and supervision
- o Stakeholders participation and cooperation

G. Monitoring and Reporting

60. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

a) Monitoring Design and Budgeting

61. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART³⁵ indicators towards the delivery of the project's outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

b) Monitoring of Project Implementation

62. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

c) Project Reporting

63. For the UNDP-led components, quarterly progress was monitored using the UNDP Enhanced Results Based Management Platform. Based on the initial risk analysis submitted, the risk log should be regularly updated in ATLAS, from which Project Progress Reports (PPR) can be generated. Annual progress should be reported in the Annual Project Review/Project Implementation Reports (APR/PIR), which combines both UNDP and GEF reporting requirements. UNEP has a centralised Project Information Management System (PIMS) in which project managers are required to upload six-monthly status reports against agreed project milestones. For the UNEP-led components, this information should be provided to the Evaluation Consultants by the Evaluation Manager. Consideration will be given as to whether reporting has been carried out with respect to the effects on disaggregated groups.

64. In addition to UNEP and UNDP reporting requirements, the evaluation will assess the extent to which SCCF reporting commitments have been fulfilled. LDCF/SCCF M&E policy requires that the

³⁵ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

established RBM Framework is observed for adaptation activities; in this regard, the evaluation will assess the quality of reporting against the Adaptation Monitoring and Assessment Tool (AMAT) as a basis for enhanced results-based management (RBM) of climate change adaptation under the SCCF.

Factors affecting this criterion may include:

- o Quality of project management and supervision
- o Responsiveness to human rights and gender equity (e.g. disaggregated data and indicators)

H. Sustainability

65. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (i.e. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention.

a) Socio-political Sustainability

66. The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

b) Financial Sustainability

67. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

c) Institutional Sustainability

68. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- o Stakeholders participation and cooperation
- o Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- o Communication and public awareness
- o Country ownership and driven-ness

d) Environmental Sustainability

69. The evaluation will assess whether any ongoing activities that may pose an environmental threat to the sustainability of project outcomes and/or any environmental risks are present that can undermine the future flow of the project benefits.

11. Factors and Processes Affecting Project Performance

(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes under the other evaluation criteria, above)

A. Preparation and Readiness

70. This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place

between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is included in the template for the assessment of Project Design Quality).

B. Quality of Project Management and Supervision

71. In this case, UNDP and UNEP serve as both Implementing and Executing agencies for the project. For this evaluation, 'project management and supervision' will refer to the management performance by UNEP and UNDP, including the technical backstopping and supervision provided to the project's partners and the national focal points. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including advisory groups, etc.); communication and collaboration with UNEP and UNDP colleagues; risk management; problem-solving; and overall project execution. Evidence of adaptive management should be highlighted.

C. Stakeholder Participation and Cooperation

72. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty-bearers with a role in delivering project outputs, national focal points, target users of project outputs, and any other collaborating agents external to UNEP and UNDP. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning. The inclusion and participation of all **differentiated groups**, including gender groups should be considered.

D. Responsiveness to Human Rights and Gender Equity

73. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

E. Country Ownership and Driven-ness

74. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs of interest of all gendered and marginalised groups. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices.

F. Communication and Public Awareness

75. The evaluation will assess the effectiveness of: a) communication of learning and experience-sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

i) Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

76. The Terminal Evaluation will be an **in-depth evaluation** using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultants

maintain close communication with the project team and promote information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. The findings of the evaluation will be based on the following:

(a) **A desk review of:**

- Relevant background documentation, inter alia UNEP MTS; UNDP Strategic Plan; UNFCCC decision 7/CP.7; GEF Programming Strategy on Adaptation to Climate Change for the LDCF and the SCCF; GEF Guidance on Monitoring and Evaluation in the LDCF/SCCF; etc.
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project, approved logical framework and budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, and including the Project Implementation Reviews and the Adaptation Monitoring and Assessment Tool (AMAT);
- Mid-Term Review report;
- Studies, training/workshop reports, publications, meeting minutes, formal presentations, relevant correspondence, etc.

(a) **Interviews** (individual or in group, mainly via Skype) with:

- Project management teams at UNEP and UNDP, and other relevant staff;
- Technical Specialists and Technical Support Unit (UNDP and UNEP);
- Representatives from the Technical Advisory Group and Project Board
- Fund Management Officers;
- Project partners, including FAO, WHO, IFAD, GIZ, UNITAR, UNISDR, GWP, UN Habitat, SPREP, GAN, WARN-CC, APAN, REGATTA,
- Other Relevant resource persons.

(b) **Surveys:** an end-of-the project survey was completed, and the results were collected and analysed. The evaluation will consider the findings of this survey as secondary data and determine the need for having an additional survey to cover critical information gaps.

(c) **Other data collection tools** as will be deemed necessary and within available funds

12. Evaluation Deliverables and Review Procedures

77. The evaluation team will prepare and submit the following deliverables:

78. **Inception Report:** containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule (see Annex 1 for links to all templates, tables and guidance notes).

79. **Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations, the preliminary findings may be presented as a Word document for review and comment.

80. **Draft and Final Evaluation Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table (see links in Annex 1).

81. **Evaluation Brief:** a 2-page summary of key evaluation findings for wider dissemination through the Evaluation Office website.

82. **Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and

comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

83. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

84. The Evaluation Manager will prepare a **quality assessment** of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

85. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis.

13. The Evaluation Team

86. For this evaluation, the evaluation team will consist of a Team Leader and one Supporting Consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager, Pauline Marima (Evaluation Office of UNEP), in consultation with the Task Managers (Tunnie Srisakulchairak - UNEP, Rohini Kohli - UNDP), the Oversight Officers (Yusuke Taishi - UNDP, and Jessica Tronni - UNEP), Fund Management Officer (Bwiza Wameyo-Odemba – UNEP), the Climate Change Sub-programme Coordinator for UNEP (Niklas Hagelberg), and the CCA Principal Technical Advisor for UNDP (Srilata Kammila).

87. The consultants will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP and UNDP Task Managers and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

88. The Team Leader will be hired over the period mid-August 2019 to mid-February 2020. S/he should have: an advanced university degree in environmental sciences, or other relevant sciences area; a minimum of 10 years of experience in work related to climate change (adaptation); familiarity with the UN Framework Convention on Climate change (UNFCCC), Kyoto Protocol and/or the National Adaptation Plan (NAP) process; experience conducting project evaluation, including use of Theory of Change approach; excellent writing skills in English, knowledge of additional UN languages is desirable; team leadership experience and, where possible, knowledge of the UN system, specifically of the work of UNEP and/or UNDP.

89. The Supporting Consultant will be hired over the period mid-August 2019 to mid-February 2020. S/he should have: an undergraduate university degree in environmental sciences, or other relevant sciences area; a minimum of 5 years of experience in work related to climate change (adaptation); excellent writing skills in English, knowledge of additional UN languages is desirable; where possible, knowledge of the UN system, specifically of the work of UNEP and/or UNDP. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

90. The Team Leader will be responsible, in close consultation with the Evaluation Office of UN Environment, for overall management of the evaluation and timely delivery of its outputs, described above in Section 12 Evaluation Deliverables, above. The Supporting Consultant will make substantive and high quality contributions to the evaluation process and outputs. Both consultants will ensure together that all evaluation criteria and questions are adequately covered.

91. Specifically, the **Team Leader** will ensure the following steps are followed as appropriate:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- (where appropriate and agreed) conduct an evaluation mission(s) to interview the executing/implementing teams from UNEP and UNDP;
- conduct surveys and interviews (online or by telephone) with various national focal points
- ensure independence of the evaluation and confidentiality of evaluation interviews;
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Managers informed of the evaluation progress and engage them in discussions on emerging findings throughout the evaluation process.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager and;
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection.

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring attention and intervention.

92. The **Supporting Consultant** will make substantive and high-quality contributions to the evaluation process and outputs. The contributions to the evaluation by the supporting consultant are detailed in Document 2 of Annex 1.

14. Schedule of the evaluation

93. Table 5 below presents the tentative schedule for the evaluation.

Table 5. Tentative schedule for the evaluation

Milestone	Tentative schedule*
Consultant recruitment process	July-August 2019
Kick-off meeting (via Skype)	August 2019
Data collection and analysis, desk-based interviews and surveys	August-October 2019
Inception Report	September 2019
Field Mission (based on meeting arrangements with UNEP and UNDP)	October 2019

Milestone	Tentative schedule*
Draft report to UN Environment (Evaluation Manager and Peer Reviewer)	November 2019
Draft Report shared with UN Environment Task Manager and Project Team	December 2019
Draft Report shared with wider group of stakeholders	January 2020
Final Report	February 2020

*Allowances have been provided for incidental and/or unanticipated delays

15. Contractual Arrangements

94. Evaluation Consultants will be selected and recruited by the Evaluation Office of UN Environment under an individual Special Service Agreement (SSA) on a "fees only" basis (see below). By signing the service contract with UN Environment/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

95. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the Team Leader:

Deliverable	Percentage Payment
Approved Inception Report (as per Annex 1 document 9)	30%
Approved Draft Main Evaluation Report (as per Annex 1 document 16)	40%
Approved Final Main Evaluation Report	30%

Schedule of Payment for the Support Consultant:

Deliverable	Percentage Payment
Approved Inception Report (as per Annex 1 document 9)	30%
Approved Draft Main Evaluation Report (as per Annex 1 document 16)	40%
Approved Final Main Evaluation Report	30%

96. Fees only contracts: Air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

97. The consultants will be provided with access to UNEP and UNDP documents, the consultants agree not to disclose information to third parties beyond information required for, and included in, the evaluation report.

98. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the Evaluation Office of UNEP, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet required quality standards.

99. If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report to completion and up to standard.

Annex 2. Evaluation Brief

Background

The Global Environment Facility (GEF) full-sized project (FSP) "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)" was implemented jointly by the United Nations Environment Programme (UNEP) and United Nations Development Programme (UNDP). The total SCCF financed budget of the project was USD 4,500,000 shared equally between UNDP and UNEP to execute specific components of the project.

The project was designed to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-least-developed countries (non-LDCs). To achieve this objective, the project focused on supporting the development of institutional and technical capacities and increased access to and shared knowledge and lessons on adaptation planning through improved North-South and South-South collaboration. The approach was aimed at overcoming barriers identified during the project design stage including barriers such as narrow approaches to the NAP processes often confined to environment ministries, limited institutional coordination among sectoral ministries to develop and implement climate change adaptation interventions, limited capacity to secure finance to implement existing climate change adaptation plans, and a lack of technical skills to build good-quality proposals that would secure financial resources to implement adaptation-related interventions.

Findings

The project was successful in strengthening national frameworks and the capacity of governments to advance NAP processes. However, those contributions do not eliminate the need for additional support and capacity building activities in non-LDCs. There was also a view that the inclusion of other critical local stakeholders from the private sector entities, indigenous people's groups and line ministries

in national workshops would have enhanced learning.

The evidence shows that the project was able to mobilize governments, bilateral and multilateral agencies to support the process of developing capacity among governments and, indeed, supported government agencies to use the skills and tools acquired. Tools produced by the project seem to be in use and lessons are being applied. Non-LDCs have participated effectively in regional and national training activities and country level support has been successful, for the most part. With regards to country level commitment, many of the countries supported in this programme have in-country initiatives that will advance the NAP process.

While interviews with governments have indicated strong commitment to achieving the project objectives and there is evidence to show that some governments have, indeed, been working to integrate climate change adaptation into their national planning processes using tools and lessons learned from the project, it is too soon to state undoubtedly that the processes will be sustained in the longer term especially as it relates to the capacity built by this project and to the allocation of resources to support the processes at the national level. Collaboration with countries in the regions was viewed as a particularly useful outcome of the regional workshops. Most of the interviewees in the post-project survey and for this evaluation thought the regional workshops were useful in bringing countries in the same region together to learn and share experiences and in some cases to provide support to each other. In particular, collaboration between UNDP and UNEP seemed to have been remarkably effective. That, it was argued, represents a model for future collaboration on other projects within the UN family and with other international organizations.

The bulk of the planned project outputs have been produced and some progress has been

made along the pathway towards the strengthening institutional and financial frameworks to support NAP processes and developing technical capacity to support key steps of the National Adaptation Plan process in the participating countries. By successfully mobilizing support and gaining buy-in from key stakeholders such as governments, bilateral and multilateral organizations, a key assumption made by the project at design held.

The project has made progress towards enabling countries to adequately plan for and adapt to the effects of climate change. Progress, albeit limited, is being made towards the stated impact of reducing vulnerability to climate change through effective medium- to long-term planning for climate change adaptation. Yet, it is clear that significant progress cannot be made towards this objective without infusion of internal resources and additional support from external sources which have yet to be acquired by the participating countries to further strengthen their respective planning processes.

Lessons Learned

Lesson 1: Engagement of a wide cross-section of stakeholders at all levels is important in projects where the achievement of expected long-term impacts is highly dependent on their actions. Indeed, the need for strong inter-institutional coordination, including a leading role for the Ministries of Finance and Planning was indicated. Future projects should endeavour to provide support for effective coordination mechanism at the national level of the key players to facilitate adaptation planning.

Lesson 2: The private sector is a key player in climate change adaptation. Yet, while this project had proposed the implementation of pilot activities with the private sector, the results achieved were only limited. Effective planning and implementation of adaptation measures requires strong involvement of the private sector, and civil society, including community-based and youth organizations. The non-LDC NAP support project focus on government actors should be expanded in future initiatives to include more diverse stakeholders. The role of the private sector and civil society, including

community-based and youth organizations are extremely important in national adaptation planning, and should be treated as such with their participation clearly defined and translated into implementable activities.

Lesson 3. The effective partnership among UN agencies has resulted in cost-effective and efficient program delivery and represents a good example of collaboration and coordination among UN agencies and a valuable model for future program delivery within the UN system.

Lesson 4. The scheduling and sequencing of training activities under the non-LDC NAP support project was not optimal and may have affected the results from these training events. E-tutorials were not provided to participants well in advance of the workshops. While capacity building activities in the project were quite strong on technical content, they often did not incorporate adequate learning techniques and may therefore have been less effective (paragraphs 116 and 119). Some concern was reported of workshop content clarity. Some participants claimed they did not fully understand what was presented making it a challenge to apply the knowledge with confidence. Some considered regional workshops as too generic which could be enhanced by covering success stories and constraints that are visible globally and within regions as well as critical technical limitations of adaptation planning. To that extent, setting clear learning objectives and tailored techniques in Climate Change Adaptation programs produce more effective (learning) outcomes.

Annex 3. List of Documents consulted for the evaluation

1. Assisting non- LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs), Original ICA between Ecosystems Division and the Asia and Pacific Office
2. Assisting non- LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs), Amendment No. 1 to the ICA between Ecosystems Division and the Asia and Pacific Office
3. Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs), Project Document #01247
4. Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs): Mid-term Review, Final Report.
5. Assisting NON-LDC Developing Countries with Country-Driven Processes to advance National Adaptation Plans (NAPS): Qualitative Assessment of NAP-GSP Technical Support. End-of _Project Draft Report, June 2019
6. National Adaptation Plan Global Support Programme, 2nd and 3rd Project Board Meeting
7. Non-LDCs Output-level Results
8. Financial Report Reconciliation CCL-000011_nonLDCs (1247)
9. NAP-GSP Programme Achievements, Developing Countries 2017- TAG Meeting 1 February 2018
10. NAP-GSP Programme Achievements, Developing Countries 2017- TAG Meeting 1 February 2018
11. UNDP, Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs): Qualitative Assessment of NAP-GSP Technical Support End-of Project Draft Report
12. UNDP-UNEP, Status of implementation, achievements and 2019 work plan of the project Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs), Report, 2019
13. UNDP Project Implementation Review (PIR), 2016, 2017, 2018
14. United Nations Environment Programme Half Yearly Progress Report, 01/01/2015-31/12/2015
15. United Nations Environment Programme Half Yearly Progress Report, 01/01/2016-30/06/2016
16. United Nations Environment Programme Half Yearly Progress Report, 01/07/2016-31/12/2016
17. United Nations Environment Programme Half Yearly Progress Report, 01/01/2017-30/16/2017
18. UNEP Budget Breakdown Non-LDC, April 2019
19. UNEP, Re- Instatement of the execution agreement between Ecosystems Division and Regional Office for Asia-Pacific for grant Number S1-32CCL-000011 (4E44)
20. UNEP GEF PIR Fiscal Year 2016 (1 July 2016 to 30 June 2017)
21. UNEP GEF PIR Fiscal Year 2016 (1 July 2017 to 30 June 2018)

Annex 4. List of Interviewees

1. Ala Druta. Adaptation and vulnerability team leader. Climate Change Office, Ministry of Agriculture, Regional Development and Environment, Republic of Moldova
2. Angus Mackay. UNITAR Director, Division for Planet
3. Diana Harutyunyan. Energy Efficiency and Climate Change Programme Coordinator, Ministry of Environment of Republic of Armenia
4. Lea Kai. Project manager – Climate change projects. Ministry of Environment, Republic of Lebanon
5. Kyekyeku Yaw Oppong-Boadi, UNFCCC Focal, EPA, Ghana
6. Antwi-Boasiako Amoah, NAPs Coordinator, EPA
7. Milica Mudresa. Advisor – Ministry of Sustainable Development and Tourism, Montenegro
8. Mozaharul Alam. UNEP Regional Coordinator - Climate Change Programme in Asia and the Pacific
9. Tunnies Srisakulchairak. UNEP Programme Management Officer
10. Umberto Labate. Technical and Portfolio Management Specialist, Climate Change Adaptation, UNDP.
11. Rohini Kohli. UNDP Lead Technical Specialist - Climate Change Adaptation
12. Yusuke Taishi. UNDP Regional Technical Specialist - Climate Change Adaptation
13. Julia Wolf. Natural Resources Officer, Climate Change, FAO
14. Elena Villalobos. Technical Officer, Climate Change and Health, World Health Organization

Annex 5: Evaluation Schedule

Phase	Activities & Deliverables	Proposed timeline
Inception	Start-up teleconference	October 18, 2019
	Initial documentation review	October 18-30
	Draft Inception report	December 20
	(Internally) Finalized Inception report	December 25
Data Collection and Analysis	In-depth documentation review	December 2019 -January 2020
	Initiation of Interviews	January 2020
	Interviews in Bangkok with Project Team	January – March 2020
	Telephone Interviews (Countries)	February-March 9. 2020
	Data analysis	Dec 2019– March 2020
	Draft Report shared for comments within UNEP	March 20. 2020
	UNEP comments due	March 30, 2020
	Final Draft Report	May 15, 2020

Annex 6: Project Results Framework

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
Project objective: strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.			Number of countries with institutional arrangements for the NAP	<p>The current functional and operational institutional capacities to advance medium- to long-term National Adaptation Plans among non-LDCs are varied.</p> <p>Most non-LDCs have developed short-term adaptation plans. Many non-LDCs are in the process of developing medium- to long-term adaptation plans. Gaps in technical capacity and access to knowledge and information hinder the undertaking of NAP processes.</p> <p>There are weak institutional planning processes as a result adaptation in most non-LDCs is not integrated into national development planning and sectoral planning processes.</p>	N/A	At least 20 countries have been supported to develop institutional arrangements for the NAP	UNDP Capacity Assessment Scorecard	Effective coordination at national level
Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP).	Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term	Outcome level indicator³⁶	Number of non-LDCs receiving tailored	Non-LDCs are at various stages in the NAP Process and require different support to further advance. Outcome 1 is structured in a way that technical support can be tailored and delivered separately or combined.	At least 8 countries have received to support towards advance their NAP process	20 countries receive tailored support to advance their NAP process	In-country workshops, training materials and training materials disseminated	Coordination with development partners on NAP-related support activities

³⁶ UNDP monitors projects at the outcome, not output, level.

Terminal Evaluation of the UNEP/UNDP/GEF Project "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)"

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
	adaptation planning processes in the context of their national development strategies and budgets.		support to advance their NAP ³⁷					
		Output 1.1 Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.	N/A	N/A	N/A	N/A		
		Output 1.2 Institutional coordination and financial arrangements are strengthened/established to support NAP process	N/A	N/A	N/A	N/A		
		Output 1.3 NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation	N/A	N/A	N/A	N/A		
Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).	Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant	Outcome level indicator	Number of non-LDCs with increased technical capacity to support key steps in NAP process.	Capacity of relevant government technicians in non-LDC to apply tools, methods and guidelines to undertake key steps in the NAP process is low.	At mid-term, government technicians from at least 40 non-LDCs have increased technical capacity to support key steps in NAP process.	By the end of the project, government technicians from at least 105 non-LDCs have increased technical capacity to support key steps in NAP process.	Surveys (tests ³⁸ , questionnaires and interviews) before and after training. Follow-up surveys a few months after trainings.	Coordination with development partners on NAP-related support activities

³⁷ This indicator is aligned with AMAT indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.

³⁸ The option to use the Kirkpatrick evaluation model will be explored when designing the surveys.

Terminal Evaluation of the UNEP/UNDP/GEF Project "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)"

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
	tools and methods are accessible to all non-LDC developing countries.	Output 2.1 Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	Number of training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process.	Existing tools, methods and guidelines are not broadly applied by non-LDCs because: i) they are developed for LDCs and are not fully applicable to non-LDCs; or ii) the proliferation of the tools, methods and guidelines are confusing for non-LDCs.	N/A	By the end of the project, one training package - containing tools, methods or guidelines - developed for non-LDCs to advance their NAP process.	Review of the training documents produced and distributed to the relevant government staff.	
		Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	Number of national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (disaggregated by gender) ³⁹	No national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process by the project	At mid-term, at least 100 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	By the end of the project, at least 300 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	Workshop reports, participant lists, surveys of participants before and after the workshops.	
		Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	Number of web-based training materials for the application of tools, methods and guidelines for NAP processes developed and accessible online.	Limited training material available online on the application of tools, methods and guidelines for NAP processes in non-LDCs, available in languages other than English and French.	At mid-term, at least 2 training materials developed and published online in at least 3 official languages of the non-LDCs.	By the end of the project, at least 5 training materials developed and published online in at least 5 official languages of the non-LDCs.	Number of translated versions of training materials. Review of the training documents accessible online in at least 6 languages. Statistics of training materials accessed.	

³⁹ This indicator is aligned with AMAT indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures.

Annex 7. Summary of co-finance information and project expenditure

UNDP Co-Finance by Project




Project	Co-financing amount	
	Pledged	Realized
NAP Ag (Integrating Agriculture in National Adaptation Plans)	8,000,000.00	9,686,171.00
LECB Programme	15,000,000.00	15,355,518.54
JCCC (Japan Caribbean Partnership on NAPs)	15,000,000.00	10,727,621.15
TOTAL	38,000,000	35,769,310.69

UNEP Co-Finance by year and Activity

Year	Project Outcome	Activity	Co-Financing USD
2016	2	Regional Training Workshop for South America and Mexico - Bogota, Colombia, 25-27 October	15,250
2017	2	Regional Training Workshop for Central America - Panama City, 8-10 February	15,250
	2	Regional Training Workshop for Middle East and North Africa - Amman, Jordan, 3-5 April. (UNEP in-kind contribution, contribution of CC Regional Coordinator)	2,500
	2	NAP-GSP Regional Training Workshop for the Caribbean - Georgetown, Guyana, 31 May- 2 June 2017	15,250
	2	Regional Training Workshop for Asia and Pacific on 'Mainstreaming Climate Change Adaptation into Water Resources' - Seoul, Republic of Korea, 13-16 September. (UNEP in-kind contribution, contribution of CC Regional Coordinator) Korean Environment Institute (KEI) hosted this training workshop	35,000
	2	Supporting countries to access finance to advance National Adaptation Plans (NAPs) (Swaziland, Zimbabwe, Pakistan)	60,000
2018	2	Regional Training Workshop for the Pacific on 'Appraisal and Prioritization Tools for Adaptation options' - Nadi, Fiji, 28-31 May (UNEP in-kind contribution, contribution of CC Regional Coordinator and Head of Samoa Office)	10,000
	2	Regional Training Workshop for Latin America on Innovation in Adaptation - Panama City, Panama, 24-26 Oct	15,250

	2	Supporting countries to access finance to advance National Adaptation Plans (NAPs) (Mongolia, Dominican Republic, Costa Rica, Ghana)	80,000
2019	2	Regional Training Workshop for the Caribbean on Innovation in Adaptation - Montegobay, Jamaica, 24-26 April	15,250
	2	Supporting countries to access finance to advance National Adaptation Plans (NAPs) (Honduras, Iraq, Nigeria, Cameroon, Seychelles, Panama, El Salvador, Georgia)	160,000
2016	3	5th APAN Forum, Colombo, Sri Lanka in October 2016 where NAP-GSP led on Adaptation Planning workstream. NAP-GSP and Korean Environment Institute (KEI) have also organized a training workshop on adaptation planning.	35,000
	3	Hindu Kush Himalayas and Small Islands LAKI Workshop Colombo, and SSFA with ICIMOD, IWMI	97,067
	3	West Asia LAKI (Gulf Cooperation Network Workshop) <u>2015</u>	27,296
	3	Southern African sub-regional workshop LAKI	60,524
2018	3	6th APAN Forum - Manila, Philippines: NAP-GSP supported the Technical session on innovation and technology to advance NAPs along with Communications, knowledge management and reporting	25,000
	3	National Adaptation Plan Expo (NAP Expo) 2018 LAC 22-23 Oct	27,000
Total			712,770

Annex 8. Weighted Rating of the Evaluation Criteria

				
Evaluation criteria	Rating	Score	Weight	Weighted Score
Strategic Relevance (select the ratings for sub-categories)	Highly Satisfactory	6	6	0.4
Alignment to MTS and POW	Highly Satisfactory	6	0.5	
Alignment to UNEP/GEF/Donor strategic priorities	Highly Satisfactory	6	0.5	
Relevance to regional, sub-regional and national issues and needs	Highly Satisfactory	6	2.5	
Complementarity with existing interventions	Highly Satisfactory	6	2.5	
Quality of Project Design	Moderately Satisfactory	4	4	0.2
Nature of External Context	Highly Favourable			
Effectiveness (select the ratings for sub-categories)	Moderately Satisfactory	4	45	1.9
Delivery of outputs	Satisfactory	5	5	
Achievement of direct outcomes	Moderately Satisfactory	4	30	
Likelihood of impact	Moderately Likely	4	10	
Financial Management (select the ratings for sub-categories)	Satisfactory	5	5	0.2
Completeness of project financial information	Moderately Satisfactory	4		
Communication between finance and project management staff	Satisfactory	5		
Efficiency	Satisfactory	5	10	0.5
Monitoring and Reporting (select the ratings for sub-categories)	Satisfactory	4	5	0.2
Monitoring design and budgeting	Satisfactory	5		
Monitoring of Project Implementation	Moderately Satisfactory	4		
Project Reporting	Moderately Satisfactory	4		
Sustainability (select the ratings for sub-categories)	Moderately Likely	4	20	0.8
Socio-political sustainability	Moderately Likely	4		
Financial sustainability	Moderately Likely	4		
Institutional sustainability	Likely	5		
Factors Affecting Performance (select the ratings for sub-categories)	Satisfactory	5	5	0.2
Preparation and readiness	Satisfactory	5		
Quality of project management and supervision	Satisfactory	5		
Stakeholder participation and cooperation	Satisfactory	5		
Responsiveness to human rights and gender equity	Moderately Satisfactory	4		
Country ownership and driven-ness	Satisfactory	5		
Communication and public awareness	Satisfactory	5		
			100	4.35
			Satisfactory	

Annex 9: List of Participating Countries

Country	Country
Angola	Oman
Cameroon	Palestine
Congo (Republic of)	Saudi Arabia
Equatorial Guinea	Tunisia
Côte d'Ivoire	Armenia
Eswatini (Swaziland)	Azerbaijan
Gabon	BiH
Gambia	Bulgaria
Ghana	Croatia
Guinea-Bissau	Georgia
Kenya	Kazakhstan
Mauritius	Kyrgyz Republic
Namibia	Macedonia
Nigeria	Moldova
Seychelles	Montenegro
South Africa	Romania
Tanzania	Russia
Zimbabwe	Serbia
India	Tajikistan
Indonesia	Turkey
Malaysia	Turkmenistan
Maldives	Ukraine
Mongolia	Uzbekistan
Papua New Guinea	Argentina
Philippines	Bolivia
Sri Lanka	Brazil
Thailand	Chile
Tonga	Colombia
Egypt	Ecuador
Iraq	Mexico
Jordan	Paraguay
Kuwait	Peru
Lebanon	Uruguay
Libya	Venezuela
Morocco	

Annex 10: Audit trail for the comments received on (13-07-202) from the Terminal Evaluation of « Assisting non- LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs) » - GEF ID 5683

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
Umberto Labate Jessica Troni	Executive Summary	While certainly aligned with the overall objectives of the NAP and the programme specifically, it is not clear why these 2 'strategic issues' take center stage in this analysis.	The Evaluators can only work with the TOR provided by the UN. I am sure the project Team was aware of the TOR and it would seem to us that these comments are coming quite late in the evaluation process. The same issues were discussed in the inception report which was circulated to the project team prior to the initiation of the evaluation
Jessica Troni	Executive Summary Lesson 4	Can the evaluator provide a clear read-across from this lesson learned to the evaluation findings in Section 5.	Done
	Executive Summary	Lessons and recommendations	Context to lessons were provided and some lessons restructured. The team believes from prior experience developing and managing terminal evaluations that where the project has been closed financially, it makes little sense to write recommendations that cannot be implemented. Therefore, the recommendations provided here relate only to a future project. The rest are written as lessons since lessons and recommendations are two sides of the same coin.
Rohini Kohli	Introduction	May we confirm that these were the ones laid down in the inception report? If so, comments in this section may be redundant, if not, then please take the comment below into account.	Responded to in the Executive summary above
Margarita Arguelles	2.1 Data Collection Methods	Were any gender-responsive data collection tools/methods used for this evaluation? How many of the interviewees were female?	Approximately 57% of the interviewees for this evaluation were female. This has been inserted in the report

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
Julie Teng	Table 2	This list of countries is missing Asia-Pacific and Latin American countries	The table contains countries interviewed. Where we could not reach countries or did not receive information the countries are not included
Umberto Labate	Table 2	I believe the sentence should be nuanced and point at the fact that (i) not all details were shared (Rohini to confirm) and (ii) that some/many did not respond	Sentence revised in line with comments
Umberto Labate	2.2 Limitations to the Evaluation	On March 25 UNDP shared the realized co-financing figures to the evaluators, who confirmed receipt the day after (26 March). The UNDP official financial reports (CDRs) were shared with the evaluators (Pauline Marima) on October 21. In addition, a financial overview of the project (both UNDP and UNEP) was shared with the evaluators on November 08.	Co-financing figures have now been included in the report as received. However we have looked through all the documents provided for this evaluation and failed to find the UNDP financial overview. The UNEP overview was received. Section revised to reflect comments made
Julie Teng	Section 3.2 Project context	This is minor, but maybe there should be a mention here to the LDC project, which was run in parallel and had joint activities, and upon the 1st phase of which this project built	Reflected in last paragraph in that section
Margarita Arguelles	3.2 Results Framework	Paragraph 10 in the Executive Summary states, "Gender-disaggregated indicators and targets were included in the results framework of the project at the PPG phase." Include a discussion on gender disaggregated indicators for this section. Were the indicators SMART?	This subject has been discussed under the quality of Project Design section 5.2
Jessica Troni	Table 4 Stakeholder Analysis	These behavioural changes related to Governments, not international agencies,	Revised
Julie Teng Margarita Arguelles	5.2 Quality of Project Design	This seems to be based solely on UNEP's prodoc?	This section has been revised to include more analysis of the UNDP project document
Umberto Labate	Section 5.4.1 Output 1.2	The evaluation seems to be mostly based on the text of the UNEP ProDoc. The UNDP ProDoc differs, and in general, the implementation team was	The evaluation of outputs and outcomes was based on both project documents. The activity referred to here is mentioned in UNDP's ProDoc on page 25 and

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
		driven by the targets and indicators set in the PRF, where, such activity was/is not clearly offered.	<p>again on page 42. This specific activity was mentioned during a call with UNDP's team and these references to UNDP's ProDoc were discussed then.</p> <p>Incidentally, the wording of the relevant paragraphs is identical on both UNDP's and UNEP's documents.</p> <p>The activity is worth mentioning in the evaluation because the budget on UNDP's ProDoc (page 42) allocated USD 300,000 to the activity, or 13% of UNDP's total budget. Missing that much is material to the evaluation.</p> <p>The PRF on UNDP's ProDoc doesn't list activities or outputs and therefore is not useful to track deliverables at these levels</p>
Julie Teng	Section 5.4.1 Output 3.1	I'm not sure what this statement refers to. Do they mean "communities of practice" rather than "communities OR practices"? There is clear evidence through the participation in UNFCCC process (NAP TWG and other LEG initiatives, AC), joint activities with NAP GSP for LDCs joint activities with NAP Ag, joint webinar and side events with NAP Global Network, regular engagement with GIZ, that the project actively sought linkages	<p>UNEP's reporting only discusses the NAP-GSP website and the partnership with REGATTA in the context of results under output 3.1. None of these other initiatives mentioned here are reported as results under output 3.1.</p> <p>The initiatives mentioned here seem to refer to the project efforts to coordinate with other initiatives and organizations working on adaptation planning. Those efforts and the good results achieved by them are recognized by the evaluation.</p> <p>Communities of practices, as proposed in the ProDoc, were expected to operate along sectors or subsectors to facilitate cooperation among countries and the mobilization of experts. The communities of practice were supposed to build on the thematic working groups that the project had to create under output 2.2. As such, the communities of practice seemed to be intended to ensure the continuity of collaboration among countries and the availability of expertise. Interviews with country participants often showed that collaboration ceased with the project end.</p>

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
Siriboon Ketphichai	Section 5.4.2 Achievement of Outcomes	Matrix for rating the achievement of outcomes	Based on the UNEP EO's guidance, a matrix is not required
Rohini Kohli	Section 5.4.2 Achievement of Outcomes	This is almost double of the 20 that was set in the programme target. This is a substantial overachievement by any count could lead to a much higher rating than the moderately satisfactory rating indicated in the TE	The problem was the way the results framework was formulated. What is being touted as over achievement at the outcome level is actually overachievement at the output level. This was discussed in section 5.2 as an issue with project design. The evaluation views what the project states as overachievement as overachievement of outputs. To achieve outcomes the results must move beyond the support received from the project as being useful to advance their NAP processes to some tangible actions by the countries in preparing adaptation plans. This applies to outcome 2 as well. This evaluation does not have the evidence of a critical mass of participants using the tools and methods provided by the project to prepare adaptation plans. Therefore, we believe the moderately satisfactory rating in the 2 components is justified.
Julie Teng Umberto Labate Rohini Kohli		Paras 125 through 128 all mention the successful contribution of the programme/project under this outcome. While I do not question the rating (MS), I would suggest clarifying why the evaluators came to that conclusion	Section has been updated. However see response immediately above.
Umberto Labate	Section 5.5 Financial Management	UNDP provided the following documents to the evaluation team in 3 different occasions: Official financial records (by account code – the smallest level of granularity that can be ever be reported); Combined UNDP-UNEP financial overview; Realized Co-financing against planned co-financing;	The UNEP financial records were provided to the evaluation office which was in the drop box for this evaluation. Besides the summary co-financing information which was forwarded directly to Francisco, no other UNDP financial reports have been provided for this evaluation. If it exists we have not seen it. Indeed what we had expected were the project expenditures. However, this section and all associated issues related to finance have been updated to

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
			reflect the information available to the evaluation team.
Umberto Labate	Table 13 Financial Management	Table 11 presents sub-criteria, where the provision of documents to the evaluators and the team's responsiveness are included multiple times. While we are objecting the rating on the extent of information shared, I would question the reason of having such factors in the evaluation criteria. Are these parts of standard UNEP evaluation criteria? We have never seen, in any other evaluations, project team's interactions with the evaluators during the evaluation process constituting part of rating for the entire project.	This information is a requirement of the TOR for this evaluation. Based on information provided Rating Revised to Satisfactory
Margarita Arguelles	Section 5.7.2 Monitoring Implementation	Were the PIR ratings consistent with MTR and TE findings? Comment on the extent of the Project Board's role in M&E activities.	The Evaluation reflects the fact that reporting to the Board included output level reporting. The facts as reported are correct in our opinion. The section has been revised to reflect the Board's role.
Jessica Troni	Section 5.7.3	Half yearly reports are produced in December. The June reports are the PIR reports. So if you have the four half yearly reports, you have the full set	We are not altogether sure about this. This is not entirely correct. The last progress report provided was dated January to June 2017. Apparently nothing happened in 2018 and 2019?
Umberto Labate	Section 5.8.2 Financial Sustainability	The truth is that there is no adequate data to arrive to this conclusion. We/countries do NOT know how much they are already spending on Adaptation in the first place. So, without a strong baseline, progress/change cannot be meaningfully tracked.	Text revised to reflect this comment component revised to ML
	Section 6.1	MRV is but one of the many processes that support the effective mainstreaming of climate risks into national planning and budgeting processes, and the programme was designed to meet clear, specific, country-based requests for help. So, while MRV is an important element, it is not clear	Interviews for this evaluation identified for MRV as an issue that needs to be addressed

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
		why the evaluators decided to put a specific focus on it	
Julie Teng Umberto Labate	Section 6.1	What about the approved GCF projects? At least Uruguay, Bosnia, Armenia, Ecuador, Argentina, Cote d'Ivoire, Serbia, PNG, Uzbekistan, Albania, Azerbaijan, Vietnam by end of 2019	The text has been revised to reflect comments
Umberto Labate	Table 14	Some headings of the criteria used are UNEP-centric. For example, we have "Alignment to MTS and POW" and "Alignment to UNEP / Donor/GEF strategic priorities". Yet, the assessment refers to UNDP sometimes. Can the headings (and possibly the assessment, if required) be more neutral?	This Table is a requirement of the TOR
Jessica Troni	Table 14 Achievement of Outcomes	While not disputing the Evaluators' scores, we believe, the following considerations should be taken into account (which may indeed lead to a higher overall score): Outcome 1 (UNDP) – exceeded the original target of supporting 20 countries by nearly doubling it to 37. Outcome 2 (UNEP) – exceeded the original target of training 300 technicians to nearly 380+	The problem was the way the results framework was formulated. What is being touted as over achievement at the outcome level is actually overachievement at the output level. Some further explanation is included the text of section 5 and in Table 14
Umberto Labate Julie Teng Jessica Troni	Table 12 E. Financial Management	Reconsider this rating in light of comments provided to table 11. .	Rating Revised to moderately satisfactory MS Narrative has been updated
Jessica Troni	G. Monitoring and Reporting	Reconsider this rating based on comments provided previously	Narrative updated. The MS rating is warranted.
Jessica Troni	Project Implementation	Reconsider this rating based on comments provided previously	Narrative revised Moderately satisfactory rating is warranted
Umberto Labate	Financial Sustainability	Why MU? While I may not agree with the score, the choice is not clear from the chosen narrative in the table. Please clarify. The project managed to broker a meaningful cooperation between a number of countries and sources of finance (GCF and bi-lateral) to ensure sustainability. Something not many	Narrative updated in light of explanations. The lack of information on the extent of government commitments makes it difficult to state without doubt that financial sustainability will be achieved. Rating has been revised to moderately likely (ML)

Author	Section	Comment/Feedback on the draft TE report	Consultants' remarks
		programmes can do. In addition, it sews the seeds for Governments to start discussing the need to increase national budgetary allocations to CCA. What else was the programme meant to achieve	
	Section 6.2 Lessons		See responses in the executive summary
	Section 6.3 Recommendations		See responses in the executive summary
Siriboon Ketphichai	Annex 2	Questionnaire and summary of responses	The evaluation used two basic questionnaire guides: one for interviews with countries and one for project partners. However, not all the guides are the same because the questions were specific to the participation of the individual country/partner in the project. These guides were not intended to be attached to the report.
Evaluation Team	Annex 5.	Summary of co-finance information	Attached as received.
Umberto Labate	Annex 6	Weighted Rating of the Evaluation Criteria	Updated

Annex 11. Brief Profiles of the Consultants

Segbedzi Norgbey

Dr. Segbedzi Norgbey is currently Chief Executive Officer of the Sustainable Development Group International Ltd, a group of very seasoned national and international development professionals and academics who provide consulting services in environment and development as well as development evaluation. The Company is headquartered in Accra, Ghana.

Dr Norgbey is the recent past Head of the Evaluation Office in the United Nations Environment Program (UNEP). In that capacity he directed and led the Evaluation Office in setting corporate goals and the evaluation agenda. He oversaw the evaluation function in UNEP, including tracking compliance with evaluation requirements; He developed and implemented UNEP's corporate evaluation strategy and policy. He prepared and submitted biennial evaluation synthesis reports to Senior Management and the United Nations Environment Assembly of UNEP for strategic policy decision making.

Dr. Norgbey coordinated, prepared and contributed to the development of new/revised project design, formulation, review and approval methodologies, guidelines and procedures to increase the efficiency of the respective processes, especially by making them consistent with project design criteria used by the Global Environmental Facility (GEF) and donors. He ensured that the processes correspond with UNEP's requirements for transparency and oversight.

As Senior Analyst within the Michigan Department of Environmental Quality, Dr Norgbey identified and evaluated hazardous waste sites and managed their remediation. He provided expert technical oversight in the modeling, information tracking and listing aspects of the Michigan Natural Resources and Environmental Protection Act (NREPA).

Dr Norgbey graduated from the University of Science and Technology in Ghana with a Bachelor of Science (Hons) degree in Planning. He holds a Master of Environmental Science degree from Dalhousie University in Canada. In 1988, he obtained a Ph.D. in Resource and Environmental Management from Michigan State University. Dr Norgbey is very well published and known widely in international circles in the area of Development Evaluation, Environment and International Development.

Francisco Arango

Francisco Arango is an international climate change and environment consultant with nineteen years of international professional experience in Africa, Asia, Europe, Latin America, and the Caribbean. Francisco has expertise and experience on policy development, project design and evaluation, climate and carbon finance, training and capacity development, greenhouse gas accounting, and climate change vulnerability and risk assessment. He has advised national governments, municipal authorities and private sector organizations on issues related to climate change and environmental policies, regulations, and technologies in the agriculture, energy, forestry, urban and transportation sectors.

Francisco has held staff positions at the Inter-American Development Bank (IDB, Washington DC), the United Nations Development Programme (UNDP, Bangkok), and the secretariat of the United Nations Framework Convention on Climate Change (UNFCCC, Bonn). As a consultant, he has contributed to the work of multilateral development banks, including the IDB and the Development Bank of Latin America (CAF), and United Nations agencies (e.g. UNDP, the United Nations Environment Program (UNEP), and the Food and Agriculture Organization of the United Nations (FAO)).

As an independent consultant, Francisco has completed assignments for the identification, preparation, implementation, and evaluation of projects financed by vertical funds including the Global Environment Facility (GEF), the Green Climate Fund (GCF), and the Adaptation Fund. In these roles, Francisco has supported the work of various implementing and accredited agencies including CAF, FAO, IDB, UNDP and UNEP. Earlier, as a staff member of the IDB and UNDP, Francisco managed portfolios of climate change projects financed by vertical funds and bilateral donors.

Francisco holds degrees in Industrial and Mechanical Engineering, and a M.Sc. degree in Environmental and Resource Management. Francisco is a certified Project Management Professional (PMP) and a member of the Project Management Institute (PMI).

Annex 12. Quality Assessment of the Evaluation Report

Quality Assessment of the Evaluation Report

Terminal Evaluation of the project “Assisting non- LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)”

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UNEP Evaluation Office Comments	Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Certain elements required in the Executive Summary are included. Content is satisfactory.	5
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	The chapter is satisfactory and covers most the required content.	5
II. Evaluation Methods This section should include a description of how the TOC at Evaluation ⁴⁰ was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used,	This chapter is well covered and details the approach, methods and limitations of the data collection and analysis	6

⁴⁰ During the Inception Phase of the evaluation process a TOC at Evaluation Inception is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions

<p>including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?</p>		
<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> Context: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). Objectives and components: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) Stakeholders: Description of groups of targeted stakeholders organised according to relevant common characteristics Project implementation structure and partners: A description of the implementation structure with diagram and a list of key project partners Changes in design during implementation: Any key events that affected the project's scope or parameters should be described in brief in chronological order Project financing: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>The section is covered in a satisfactory manner and captures all the required content</p>	6
<p>IV. Theory of Change</p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of</p>	<p>TOC is presented in both diagrammatic and narrative representation. The causal chains,</p>	5

and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.

<p>each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</p>	<p>and associated drivers and assumptions are discussed. Changes in the formulation of results statements in the reconstructed TOC have been discussed. Section could benefit from a more thorough analysis of the results hierarchy; this is presently so summarized that valuable insights on the TOC may have become omitted from the narrative.</p>	
<p>V. Key Findings</p> <p>A. Strategic relevance:</p> <p>This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation⁴¹), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ol style="list-style-type: none"> 1. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) 2. Alignment to UNEP/ Donor/GEF Strategic Priorities 3. Relevance to Regional, Sub-regional and National Environmental Priorities 4. Complementarity with Existing Interventions 	<p>The section has been covered in a satisfactory manner</p>	6
<p>B. Quality of Project Design</p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>The assessment provides a relatively clear assessment of the project design quality.</p>	5
<p>C. Nature of the External Context</p> <p>For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval⁴²), and how they affected performance, should be described.</p>	<p>This section is well-covered. There were no issues of note to discuss in detail</p>	6
<p>D. Effectiveness</p> <p>(i) Outputs and Project Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing</p>	<p>The assessment of outputs and direct outcomes is sufficiently covered, includes supporting evidence, and provides for the</p>	5

⁴¹ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

⁴² Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

<p>is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>most part well-reasoned discussions on the extent to which the project has achieved these results. Gender considerations have been included in the assessment.</p>	
<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>The assessment of Impact is consistent with the TOC. Includes examples of evidence to corroborate the findings. The linkage/change process from IS to impact is covered satisfactorily, and the key driver and assumption at this result level are also assessed.</p>	5
<p>E. Financial Management</p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • Adherence to UNEP's financial policies and procedures • completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used • communication between financial and project management staff 	<p>Aspects of completeness and communication have been adequately covered in the assessment. The section includes a completed 'financial management' table. Being a project with two IAs (UNEP and UNDP), financial policies and procedures differed and this is evident in the findings presented</p>	5
<p>F. Efficiency</p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint. 	<p>The section is well-written. It gives a clear indication of some of the measures taken by the project to achieve efficiency gains</p>	5
<p>G. Monitoring and Reporting</p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (including SMART results with measurable indicators, resources for MTE/R etc.) • Monitoring of project implementation (including use of monitoring data for adaptive management) • Project reporting (e.g. PIMS and donor reports) 	<p>The section covers the required dimensions of monitoring and reporting in a satisfactory manner</p>	5

<p>H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability 	<p>The assessment identifies some of the key elements that are necessary for the sustainability of the project's outcomes, and the extent to which there is evidence that such sustainability is likely. Some evidence is also provided to support the assessment</p>	<p>5</p>
<p>I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> • Preparation and readiness • Quality of project management and supervision⁴³ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards • Country ownership and driven-ness • Communication and public awareness 	<p>This section covers all of the required elements, to varying levels of detail. Examples have been given in some instances to corroborate the findings.</p>	<p>5</p>
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>This section can be improved to give a more compelling and systematic story on the main successes and challenges of project implementation, what were the most pertinent factors, or who were the most important agents of change. A discussion on the key strategic questions is not explicitly covered in the conclusions section.</p>	<p>4</p>
<p>ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>These are presented as stand-alone statements and are in most cases based on evaluation findings. The applicability of the lessons can be inferred from the contextual background provided.</p>	<p>4.5</p>

⁴³ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

<p>iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>The recommendations are anchored on the findings presented in the report. They include the priority level, agency for the proposed action, and projected timelines for implementation</p>	<p>5</p>
<p>VII. Report Structure and Presentation Quality</p>		
<p>i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?</p>	<p>Annexes are complete</p>	<p>5</p>
<p>ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?</p>	<p>The language is clear and has a professional tone. Formatting guidelines are followed</p>	<p>5</p>
<p>OVERALL REPORT QUALITY RATING</p>		<p>Satisfactory (5.2)</p>

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.