



**Uruguay**



*Integrating adaptation into cities, infrastructure and local planning in Uruguay*

**PIMS: 6033**

**ID GCF: URY-RS-002**



## TERMINAL EVALUATION REPORT

**Date:** 23/06/2021

## i. Opening page

### Title

Integrating adaptation into cities, infrastructure and local planning in Uruguay

### Project ID's

Atlas Project ID (formerly Award ID): 00084926

Atlas Output ID (formerly Project ID): 00092719

UNDP PIMS ID number: 6033

GCF ID: URY-RS-002

### Project start date

January 2018

### Project end date

Planned: January 2021

Actual: July 2021

### Project duration

38 months

### Region

Latin America

### Country

Uruguay

Implemented by UNDP, in partnership with the Ministry of Housing and Land-Use Planning and Ministry of Environment

Evaluation timeframe: from April 20<sup>th</sup> to June 23<sup>rd</sup>, 2021

Evaluator: Giacomo Morelli

## ii. Acknowledgement

A deep thanks to all the people who have taken the time to provide information used in the writing of this evaluation report. A special thanks to the Project Manager and the Project Assistant for their support in organizing the entire process of remote meetings and interviews that made possible the evaluation exercise.

### iii. Acronyms and abbreviations

AGESIC	<i>Agencia de Gobierno Electrónico y Sociedad de la Información y del Conocimiento</i> Electronic Government Agency and Information and Knowledge Society
ANV	<i>Agencia Nacional de Vivienda</i> Housing Agency
CAF	<i>Corporación Andina de Fomento</i>
COVID-19	Corona Virus Disease 2019
CTCN	Climate Technology Centre & Network
DINOT	<i>Dirección Nacional de Ordenamiento Territorial</i> Land-use Planning Directorate
DINAGUA	<i>Dirección Nacional de Aguas</i> Water Directorate
DINAMA	<i>Dirección Nacional de Gestión Ambiental</i> Environment Management Directorate
DNE	<i>Dirección Nacional de Energía</i> Energy Directorate
DINISU	<i>Dirección Nacional de Integración Social y Urbana</i> Social and Urban Integration Directorate
DNCC	<i>Dirección Nacional de Cambio Climático</i> Climate Change Directorate
GCF	Green Climate Fund
GoU	Government of Uruguay
LEG	Least Developing Countries (LDC) Expert Group
M&E	Monitoring and Evaluation
MA	<i>Ministerio de Ambiente</i> <i>Ministry of Environment</i>
MEVIR	<i>Movimiento pro Erradicación de la Vivienda Insalubre Rural</i> Movement for the Eradication of Rural Unhealthy Housing
MIEM	<i>Ministerio de Industria, Energía and Minería</i> Ministry of Industry, Energy and Mining
MSP	<i>Ministerio Salud Pública</i> Ministry of Public Health
MVOT	<i>Ministerio de Vivienda, Ordenamiento Territorial</i> Ministry of Housing, Land Use Planning
MVOTMA	<i>Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente</i> Ministry of Housing, Land Use Planning and Environment
NAP	National Adaptation Plan
NDC	Nationally Determined Contributions

OPP	<i>Oficina de Planeamiento y Presupuestos</i> Presidential Office for Budget and Planning
PMB	<i>Programa de Mejoramiento de Barrios</i> Neighborhood Improvement Program
SDG	Sustainable Development Goal
SAU	<i>Sociedad de Arquitectos del Uruguay (SAU)</i> Uruguayan Architects Society
SINAE	<i>Sistema Nacional de Emergencias</i> Disaster Risk Management agency
SNRCC	<i>Sistema Nacional de Respuesta al Cambio Climático</i> National System of Response to Climate Change
TE	Terminal Evaluation
UDELAR	<i>Universidad De La República</i> University of the Republic
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNFCCC	United Nation Framework Convention on Climate Change

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## 1. Executive summary

### 1.1. Project Information Table

<b>Project title:</b> Integrating adaptation into cities, infrastructure and local planning in Uruguay		
<b>Country:</b> Uruguay		
<b>Implementing Partner:</b> UNDP		<b>Management Arrangements :</b> Direct Implementation Modality (DIM)
<b>UNDAF/Country Programme Outcome/s:</b> <b>1.1</b> The country has strengthened its capacities and institutional framework to ensure the preservation of the natural resources including water, echo systemic services, pollution prevention and generation and sustainable use of energy, promoting local development and creation of livelihood. <b>1.3</b> The country has strengthened its capacities for mitigation and adaptation to climate change, as well as its disaster resilience.		
<b>UNDP Strategic Plan Output:</b> 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis		
<b>UNDP Social and Environmental Screening Category:</b> <i>Exempt</i>		<b>UNDP Gender Marker for the project output:</b> GEN 2
<b>Atlas Project ID (formerly Award ID):</b> 00084926		<b>Atlas Output ID (formerly Project ID):</b> 00092719
<b>UNDP-GEF PIMS ID number:</b> 6033		<b>GCF ID number:</b>
<b>Planned start date:</b> January 8 <sup>th</sup> , 2018		<b>Original end date:</b> January 7 <sup>th</sup> , 2021 <b>Revised end date:</b> July 6 <sup>th</sup> , 2021
<b>PAC meeting date:</b> April 2018		
<b>Project Details</b>		<b>Project Milestones</b>
<b>Project Title:</b> Integrating adaptation into cities, infrastructure and local planning in Uruguay		<b>PIF Approval Date:</b> N/A
<b>UNDP Project ID (PIMS #):</b> 6033		<b>CEO Endorsement Date (FSP) / Approval date (MSP):</b> N/A
<b>GCF Project ID:</b> URY-RS-002		<b>ProDoc Signature Date:</b> 15/05/2018
<b>UNDP Atlas Business Unit, Award ID, Project ID:</b> 00084926, 00092719		<b>Date Project Manager hired:</b> 09/07/2018
<b>Country/Countries:</b> Uruguay		<b>Inception Workshop Date:</b> 24/05/2018
<b>Region:</b> Latin America		<b>Mid-Term Review Completion Date:</b> N/A
<b>Focal Area:</b> Climate Change Adaptation		<b>Terminal Evaluation Completion date:</b> 28/06/2021
<b>GEF Operational Programme or Strategic Priorities/Objectives:</b> N/A		<b>Planned Operational Closure Date:</b> 06/07/2021
<b>Trust Fund:</b> Green Climate Fund		<i>[indicate GEF TF, LDCF, SCCF, NPFI]</i>
<b>Implementing Partner (GEF Executing Entity):</b> N/A		
<b>NGOs/CBOs involvement:</b>		
<b>Private sector involvement:</b>		
<b>Geospatial coordinates of project sites:</b> -34.90011578780125, -56.192132244958145 (Coordination) -30.903014350050263, -55.54204103659721 (Rivera) -34.41630617898913, -57.451865798866464 (Juan Lacaze) -34.831298725948855, -56.26466945327716 (Montevideo Pantanoso) -34.52570751388201, -56.28391369059579 (Canelones) -32.31670021875881, -58.09300214793964 (Paysandú)		<i>[Coordinates are available in the annual PIRs]</i>



## 1.2. Brief project description

The project focuses on setting-up process of formulating the NAP-Cities, which is meant to promote national and local capacities to deal with climate change adaptation in the urban areas of the country.

The project objective is to support the Government of Uruguay to advance its National Adaptation Planning process in cities and local governments (NAP-Cities).

Five outputs are expected to be achieved during its implementation:

- Output n° 1 - National mandate, strategy and steering mechanisms are in place and gaps are assessed.
- Output n° 2 - Preparatory elements for the NAP in place to develop a knowledge-base and formulate a NAP.
- Output n° 3 - NAP implementation facilitated.
- Output n° 4 - Mechanisms for Reporting, Monitoring and Review of NAP-Cities and adaptation progress in place.
- Output n° 5 - National mandate, strategy and steering mechanisms are in place and gaps are assessed.

## 1.3. Evaluation Ratings Table

1. Monitoring & Evaluation (M&E)	Rating
M&E design at entry	5 – <i>Satisfactory</i>
M&E Plan Implementation	5 – <i>Satisfactory</i>
Overall Quality of M&E	5 – <i>Satisfactory</i>
2. Implementing Agency (IA) Implementation &	Rating
Quality of UNDP Implementation/Oversight	6 – <i>Highly Satisfactory</i>
Quality of Implementing Partner Execution	6 – <i>Highly Satisfactory</i>
Overall quality of Implementation/Execution	6 – <i>Highly Satisfactory</i>
3. Assessment of Outcomes	Rating
Relevance	6 – <i>Highly Satisfactory</i>
Effectiveness	6 – <i>Highly Satisfactory</i>
Efficiency	6 – <i>Highly Satisfactory</i>
Overall Project Outcome Rating	6 – <i>Highly Satisfactory</i>
4. Sustainability	Rating
Financial sustainability	4 – <i>Probable</i>
Socio-political sustainability	4 – <i>Probable</i>
Institutional framework and governance	4 – <i>Probable</i>
Environmental sustainability	4 – <i>Probable</i>
Overall Likelihood of Sustainability	4 – <i>Probable</i>

## 1.4. Summary of findings and conclusions

### Main Findings

1. The formulation of the project was based on the LEG Guidelines on NAP (2012), entailed a great participation of relevant stakeholders, and built upon the development of the National Policy on Climate Change (2017). The formulation of the NAP-Cities is also included as a target in the adaptation chapter of the Uruguay's NDC (2017).
2. The design of the project identified clearly how the collaboration between UNDP and main institutional partners should be organized.
3. The approved proposal and ProDoc clearly highlighted the great importance of participation of a vast array of national and local stakeholders.

4. A gender sensitive approach to guide the implementation of the project and inform its main deliverable was already suggested in the proposal and ProDoc.
5. The project was implemented in accordance to the ProDoc. In March 2020, because of the COVID-19 pandemic, all events, which previously were meant to be conducted in person turned into virtual and were implemented via on-line communication applications/platform.
6. The great level of participation to project activities is the project's feature that emerged as the most outstanding during the evaluation exercise.
7. The participatory approach put in place by the Project Team was effective.
8. Project funds were spent in line with the original budget included in the ProDoc.
9. The implementation of the project did not need an articulated M&E system.
10. The great and active involvement of the member of the Technical Committee made sure that the quality of the deliverables was in line with the expectations of the main national institutional partners and beneficiaries of the project, i.e. MVOT and MA.
11. The quality of the work done by UNDP, specifically by its Project Team in terms of project management, was appreciated by every individual interviewed on the matter. The deliverables of the project are considered as well very satisfactory in terms of overall quality.
12. At the time of the current evaluation, the project substantially achieved all expected outputs. Some activities remain to be completed, mainly concerned with the dissemination and socialization to have the NAP-Cities document in its final version validated by relevant stakeholders, in line with the participatory approach that characterized the entire implementation process.
13. The project resulted aligned to the interests, both institutional and professional, of all stakeholders interviewed on the matter.
14. The project was implemented efficiently.
15. The evaluation exercise did not identify any kind of elements that may jeopardize the achievements of the project in the near future.

#### Main Conclusions

1. The project was effective. A comprehensive NAP-Cities document is expected to be completed by the end of the project. The project hit its tangible target. In doing so, the project developed substantially the capacity of the most relevant stakeholders, i.e. national ministries, *intendencias* and *municipios*. Its capacity development impacts are very visible and concrete with the academic sector, too. The formulation of the NAP-Cities should not be considered as a mere planning tool. Instead, it should be considered as a capacity development initiative, which ultimately resulted in delivering the NAP document.
2. The evaluation exercise considers that the project was designed carefully, taking into consideration all main elements that are considered essential with the development sector, which are:
  - Utilization of a pertinent guiding document for its formulation;
  - The alignment to well-defined country priorities;
  - The early identification of roles of project partners (project governance);
  - A great degree of participation of interested stakeholders;
  - The inclusion of the gender approach as guiding principle for implementation.

In fact, these elements are identified as key in the "Guidance for conducting terminal evaluations of UNDP-supported, GEF-financed projects " on which this evaluation is based.

3. The evaluation considers the request to the donor of a four month-no-cost-extension well justified and pertinent.
4. The project proved to be relevant for all stakeholders involved in the process of the formulation of the NAP-cities.

5. The evaluation considers the sustainability of the project high. As expected in its design, the initiative paved the way for implementation of adaptation measures in urban areas of Uruguay, including also financing and funding strategies.
6. The country-ownership of the project is deep.
7. The project was effective in guaranteeing a respectful and fruitful dialogue between the first level and the second and third level of administration.
8. Gender and human rights were mainstreamed effectively in the implementation of the project and reflected accordingly in its deliverables.

## 1.5. Synthesis of the key lessons learned

### Lessons learned n° 1

The project resulted highly satisfactory in terms of relevance, effectiveness, efficiency and sustainability because of the following elements that emerged clearly during the entire evaluation process, i.e. both from the consultation of documents and from the absolute convergence of the answers obtained from the project actors interviewed:

- The active participation of beneficiaries and partner organizations in the formulation of a development initiative is key to ensure a high level of participation and country ownership during the implementation of the initiative.
- The design should build on existing pertinent guidelines, already tested by other recognized institutions.
- The set-up of management arrangements with clear roles for each main project partners already included in the project document facilitate the implementation of activities avoiding institutional misunderstandings about the specific responsibilities of each one.
- The coordination of different capacities, search for consensual solutions, and dedicated project staff to follow up the different lines of action with relevant expertise.
- The will to reach a large audience of participants and to enable them to actively participate in the process, i.e. inform them regularly about the progress of activities, the serious effort to take into consideration their feedback, and the openness to their needs is key for a successful implementation of a development initiative. Under this perspective, hiring project team members with specific knowledge and experience in communication, participation and gender issues is key.

In other words, the general approach that should characterize all UN initiatives finds in the NAP-Cities project the confirmation of its validity. This approach is, indeed, very relevant when it comes to formulate and implement capacity development initiatives.

### Lessons learned n° 2

Mainstreaming effectively gender issues and human rights into national and local programming requires dedicated financial resources and staff able to produce relevant management tools to support the implementation of a given project. To be effective a generic will of the Project Team and Project Board is not enough. Cross-cutting issues are integral part of the approach that UN agencies should follow in all their interventions.

As for lesson-learned n. 1, the approach that should characterize all UN initiatives finds in the NAP-Cities project the confirmation of its validity.

### Lessons learned n° 3

The thematic relevance of an initiative is evidently the pre-requisite for a development project to be successful. However, those in charge of project management should be able to capture the attention of other stakeholders. Relevant managerial competencies, commitment and capacities to listen and understand different interests, openness to dialogue and personal commitment are key factors to promote an effective engagement of stakeholders in a development initiative.

#### Lessons learned n° 4

The active involvement of the academic sector in a development initiative is key in terms of knowledge generation and dissemination. The promotion of agenda 2030 and the attainment of SDGs constitute a challenge for all countries. Creation and diffusion of scientific knowledge on this regard is crucial. UN projects represents an ideal means to produce scientific knowledge rooted in practical experience for a broader audience, which may go beyond the physical borders of a country. Furthermore, by its very nature, the academic sector can take responsibility for continuing to work on project themes alone for its own teaching and research interest. In doing this, it may spread and broaden the knowledge generated within the project itself to a larger audience.

#### 1.6. Recommendations Summary Table

Rec #	TE recommendation	Entity Responsible	Time Frame
1	Lessons learned n° 1 and n° 2 may be applied to UNDP projects that include, amongst their outputs, the formulation of planning and regulatory documents or tool. Their application generates capacity development effects and promotes country ownership.	UNDP Country Office in Uruguay, and more generally any UNDP Country Office worldwide	Formulation phase and/or the inception phase of new initiatives.

## 2. Introduction

### 2.1. Evaluation purpose

The Terminal Evaluation (TE) assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and support the overall enhancement of UNDP programming. The TE promoted, as well, accountability and transparency, and assessed the extent of project accomplishments.

### 2.2. Scope of the evaluation

The TE evaluated the results according to the criteria established in the “Guidance for conducting terminal evaluation of UNDP-supported, GEF-financed projects”<sup>1</sup>. It involved all stakeholders, as well as those responsible for the execution and implementation of the project indicated in the Project Document (ProDoc). The exercise covered the design, execution and results of the project focusing, therefore, on the following three categories:

- Project Design/Formulation
- Project Implementation
- Project Results and Impacts

Based upon findings, the TE exercise exposes conclusions, recommendations and lessons learned.

### 2.3. Methodology

The research design of the TE included desk review, individual and group interviews, as data collection tools. It made use of a “purposeful sampling”<sup>2</sup> to identify stakeholders to be consulted through individual or group remote interviews. The sampling was designed in consultation with the Project Team. The sampling and the consequent schedule of interviews took necessarily into account the availability and will of stakeholders to participate in the evaluation process.

The “purposeful sampling” meets the needs for the TE. This involves identifying and selecting individuals or groups of individuals who are especially knowledgeable or experienced with a phenomenon of interest. Studying information-rich cases, that is, interviewing people who are well informed about the project and who have a link with it, generates knowledge and deep understanding instead of empirical generalizations, which are instead typical of statically representative probability sampling<sup>3</sup>. The present evaluation, in fact, must deal with many data to inform the three categories of research identified, that is, Project Design/Formulation, Project Implementation, and Project Results and Impacts. It is conceivable that Project staff will have a lot of information about the management and administration of the Project, while other stakeholders will have important information to evaluate the effectiveness of the Project. In the same way, UNDP and public officials will be able to help greatly the International Evaluator to understand the processes that have characterized the implementation of the project and the importance at the national level of its achievements.

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<sup>1</sup> Being the project financed by the GCF, some elements of the “Guidance for conducting terminal evaluation of UNDP-supported, GEF-financed projects” do not apply. some changes to the various sections of this report are identified with footnotes when they are relevant.

<sup>2</sup> “The logic and power of purposeful sampling lie in selecting information-rich cases for study in depth. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the inquiry, thus the term purposeful sampling. Studying information-rich cases yields insights and in-depth understanding rather than empirical generalizations.” Patton MQ. *Qualitative research and evaluation methods*. 3rd Sage Publications; Thousand Oaks, CA: 2002.

<sup>3</sup> Patton MQ. *Qualitative research and evaluation methods*. 3rd Sage Publications; Thousand Oaks, CA: 2002.

## 2.4. Data collection and analysis

The research design of the evaluation exercise made use of the following primary and secondary data collection methods:

- Desk review
- Individual interviews
- Group interviews

Desk review had two main functions. Projects are based on assumptions about how and why the expected results are supposed to be achieved through the selected strategy. Therefore, the evaluation verified the soundness and realism of this strategy. From this perspective, the ProDoc fulfilled the function of providing the elements that made up the strategy to be evaluated. The second function of the desk review was to provide to the International Evaluator secondary data consolidated by the Project staff, which were triangulated with the primary data to formulate the evaluation findings.

Individual and group interviews were the only tools to collect primary data.

## 2.5. Ethics

The evaluation was conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG) “Ethical Guidelines for Evaluations”.

## 2.6. Limitations

The entire evaluation exercise was conducted during the COVID-19 pandemic in accordance with what was planned in the inception report.

Because of the occurrence of the Covid-19 pandemic and the consequent necessity to conduct the evaluation remotely, project stakeholders were interviewed individually or in groups with on-line communication applications, with the International Evaluator working in home-office.

It entailed three phases:

- **Inception phase**  
The inception took place from the April 20 to April 30. The International Evaluator delivered the inception report that was approved by UNDP.
- **Data collection phase**  
It took place from May 10 to May 20.  
  
To carry out the data collection phase, the International Evaluator worked in close collaboration with the project staff, who set up the schedule of meetings.
- **Reporting phase**  
It took place from May 23 to June 23. The deliverables of the reporting phase were the Draft TE Report and the Final TE Report. In the Final TE Report, the Evaluator addressed the comments received on the Draft Report from UNDP. In addition, the Evaluator delivered a TE audit trail form.

Annex 2 shows the TE virtual mission agenda, annex 3 the list of persons interviewed, and annex 4 the list of documents reviewed.

A high degree of stakeholders’ participation characterized the TE. The International Evaluator conducted 22 individual and 11 group interviews involving 53 people amongst Project staff, UNDP officers, and representatives of national, departmental and municipal institutions (*ministerios, intendencias, and municipios*), university professors and other relevant stakeholders.

### 3. Project description

#### 3.1. Project start and duration

The project start date was January 8 2018, and the original end date was January 7 2021. By decision of the donor, a 6 month COVID-19 extension was granted globally to all GCF funded projects, so the revised end date was July 6 2021.

#### 3.2. Development context

Uruguay is situated in the Eastern temperate zone of South America, with a surface of 175,016 km<sup>2</sup> and a coastline covering over 680 km. The total population is 3,380,177 inhabitants with approximately 93% of the population living in urban areas. Uruguay experiences climate hazards such as droughts and flood, heat waves, hailstorms and tornados.

Estimations suggest that Uruguay's temperature could increase by 2 to 3 degrees °C by 2100. Rainfall is projected to increase in the entire country by 10-20% on average with a high seasonal and inter-annual variability. In the last ten years, the country experienced more intense and frequent flood and drought situations. In 2015, floods led to 20,000 displaced people in urban areas.

Uruguay's 2010 National Climate Change Response Plan states that adaptation is a strategic priority for the country. Within this context, Uruguay has been addressing adaptation to climate change and variability and climate risk management for the different sectors. In 2017, Uruguay approved the National Climate Change Policy, which enables the development of long-term and comprehensive strategies to address both mitigation and adaptation aspects. Within the paragraph 11 of this Policy, it was agreed to promote the development of sustainable and resilient cities, communities, human settlements and infrastructures with three major action lines that include:

- a) the adequate incorporation of climate variability and change, as well as adaptation and mitigation in urban planning, in land-use planning and landscape planning;
- b) the adequate integration of mitigation and adaptation and ecosystem services in the design, building, management and maintenance of housing, infrastructure and equipment and provision of public services; and
- c) to build capacity at national and local level through human resources capacity building and the provision of finance for mitigation and adaptation actions.

In addition, the NAP-Cities is included as a target in the adaptation chapter of the Uruguay's NDC (2017).

As the country evolves towards the systemic integration of adaptation in development planning and addressing the main climate risks to local development, it will require increasing national investment. Uruguay also needs to attract new and innovative climate financing, with synergies between central and local levels.

The integration of climate adaptation into planning activities is still in its initial stages. Although there is an increased awareness and desire within various national agencies to improve adaptation planning, the awareness level within other significant stakeholders (such as local government and private sector) for the need to invest in early adaptation planning remains limited. There is little dedicated capacity in sectoral agencies, cities and local governments to integrate adaptation into their strategies.

Cities and urban areas have been selected as a priority given that the spatial development of Uruguay has historically tended to concentrate its population, institutions, services and activities in urban areas. The capital of the country, Montevideo, is the largest city with 1,305,082 inhabitants. There are also other 8 cities with more than 50,000 inhabitants; 31 cities between 10,000 and 49,999 inhabitants, and 30 cities between 5,000 and 9,999 inhabitants.



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

The project was designed to:

- To enable the Government of Uruguay (GoU) to build and strengthen capacities for mainstreaming climate change adaptation into planning and budgeting processes and systems in both central and local governments;
- To produce policy-relevant and actionable climate risk assessments for cities and local governments;
- To design new methods, tools and information systems to effectively inform decision-making on the climate risks to development in an integrated manner; and
- To formulate financing strategies and mechanisms for scaling up adaptation in cities and local governments.

Briefly, it was designed to lead the process to develop the National Adaptation Plan for urban areas in the country. On this regard, it is important to highlight that, in the intentions of the United Nations Framework Convention on Climate Change (UNFCCC), the NAP process helps countries conduct comprehensive medium- and long-term climate adaptation planning. It is a flexible process that builds on each country's existing adaptation activities and helps integrate climate change into national decision-making.

The project built upon the prerogatives and priorities set forward in the National Climate Change Response Plan of 2010, the National Policy on Climate Change of 2017 and the first Nationally Determined Contributions (NDC). It was designed to address the main gaps in integrating climate change adaptation into cities and local government planning and budgeting, as identified in the stakeholders' consultation process that was undertaken in 2016.

### 3.4. Immediate and development objectives

The project promoted the objectives of the national adaptation planning process, which, as mentioned in the ProDoc, are:

- To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience in cities, infrastructures and urban environments; and
- To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies that apply to cities and local planning.

### 3.5. Expected results

#### Project Objective

To support the Government of Uruguay to advance its National Adaptation Planning process in cities and local governments (NAP-Cities)

#### OUTPUT 1

National mandate, strategy and steering mechanisms are in place and gaps are assessed.

#### OUTPUT 2

Preparatory elements for the NAP in place to develop a knowledge-base and formulate a NAP.

#### OUTPUT 3

NAP implementation facilitated.

#### OUTPUT 4

Mechanisms for Reporting, Monitoring and Review of NAP-Cities and adaptation progress in place.



## OUTPUT 5

National mandate, strategy and steering mechanisms are in place and gaps are assessed.

The five outputs represent the most essential elements of the National Adaptation Plan for cities and infrastructure of Uruguay, which will be reflected in the document itself.

As mentioned in the sections “3.4. Immediate and development objectives”, the process of formulating the NAP for cities is intended to promote broadly national and local capacities to deal with climate change adaptation in the urban areas of Uruguay. However, the ProDoc does not articulate any specific theory of change and does not report any indicators to measure the development of capacities.

### 3.6. Total resources

The value of the GCF grant for the implementation of the project is USD 2’735’615.

### 3.7. Main stakeholders

The ProDoc does not identify any specific role for any stakeholders. The format of the ProDoc includes a chapter about stakeholders’ engagement, which mentions that stakeholders will include “...representatives of Government institutions: central agencies, local governments and cities officials, as well as civil society organizations – including trade unions – research institutions, financial and technical partners, international non-governmental organization. The role and involvement of the private sector...”

### 3.8. Description of the project’s Theory of Change

An explicit Theory of Change was not included in the project design.

## 4. Findings

### 4.1. Project Design/Formulation

#### 4.1.a. Description of project design<sup>4</sup>

The design of the project is straightforward. The five outputs represent essential elements of the National Adaptation Plan for cities and infrastructure of Uruguay, which will be reflected in the document itself. Briefly, the project aimed at the formulation of the said planning document in a participatory way so to integrate climate change adaptation coherently into development planning processes and strategies that apply to cities and local planning. Specific activities are identified to achieve the five outputs in accordance to the LEG Guidelines on NAP (2012) developed and published by the UNFCCC Secretariat.

The design has as well an important dimension on capacity development. Actually, three out of five outputs foresee the implementation of capacity development activities. Briefly, the project was conceived as an open dialogue between stakeholders led by the UNDP as GCF Delivery partner. Dialogue between UNDP and other stakeholders should lead to the formulation of NAP-Cities and simultaneously promote capacity development at various level, national and local administrations, university, civil society and private sector.

The design revealed to be appropriate for the formulation of the NAP-Cities of Uruguay.

#### 4.1.b. Assumptions and Risks

The table below reports the three risks identified in the project design, specifically in its Annex 3: UNDP Risk Log.

<b>Risk # 1</b>
<b>Decrease of political support for the development of outputs that depend on public institutions</b>
<b><i>Evaluation considerations</i></b>
Public institutions are the main partners, target group and beneficiaries of the project. Their political support cannot be considered as a risk. If a project does not involve successfully its partners, target groups and beneficiaries, the project is not relevant. To implement a project that does not interest the parties involved is simply useless.
<b>Risk # 2</b>
<b>The national and local institutions involved in addressing activities do not work in coordination with the MVOTMA.</b>
<b><i>Evaluation considerations</i></b>
The risk is the challenge in front of any project. The ability to foster the dialogue between the parties involved is an internal challenge. It cannot be considered a risk. Actually, this is the main ambition/challenge of the NAP-Cities project, i.e. to promote a fruitful collaboration between different entities to reach an agreement, the NAP in cities and infrastructures.
<b>Risk # 3</b>
<b>Lack of current capacities to carry out the project activities.</b>
<b><i>Evaluation considerations</i></b>
As the other two risks, the lack of capacities of stakeholders is not an external element of the project. It is the challenge of any project. Activities should be always tailored to the capacities of project stakeholders and, when capacities are lacking, a project should promote capacity development activities as a preliminary and/or complementary work.

<sup>4</sup> According to the "Guidance for conducting terminal evaluation of UNDP-supported, GEF-financed projects", this section should be named "Analysis of Results Framework: project logic and strategy, indicators". Due to the nature of the project, which does not include a structured logical framework with defined objective, outcomes and related indicators and target levels, the name of the section was changed into "Description of project design".

No assumptions are identified in the ProDoc. The evaluation exercise considers that lack of assumptions and risks did not constitute a problem for the implementation of the project. The challenges for a successful implementation of the project are all internal to the project: the political support, the capacities of stakeholder, the coordination between institutions are the key elements.

#### 4.1.c. Lessons from other relevant projects incorporated into project design

The ProDoc does not mention any lessons that may have helped for the identification and design of the project itself. ProDoc's Annex F: UNDP Project Quality Assurance Report mentions that *...the project design mentions knowledge and lessons learned backed by evidence/sources...* The evaluation exercise did not find these mentions in the design of the initiative. The lack of the incorporation of lessons in the design did not represent a problem. Actually, the project built upon the development of the National Policy on Climate Change (2017) and the first NDC (2017) upon an increased awareness and will of various national agencies to improve adaptation planning. Finally, the project design followed strictly the LEG Guidelines on NAP (2012) developed and published by the UNFCCC Secretariat.

#### 4.1.d. Planned stakeholder participation

The project was formulated in collaboration with technical officers and consultants of the Ministry of Housing, Land Use Planning and Environment (*Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente, MVOTMA*) that later participated in the project implementation as Technical Committee members. Moreover, the ProDoc was the result of a series of consultations organized in October 2016 around a two-day workshop with various stakeholders from central agencies, local governments and other organizations to develop and validate the project design

The ProDoc included a detailed section on governance and management arrangements that specifies the participation of the main institutional partners of the project (UNDP, and GoU's ministries and agencies).

In addition, the importance of the participation of all relevant stakeholders (GoU's ministries and central agencies, local governments and cities officials, as well as civil society organizations, research institutions, financial and technical partners, non-governmental organizations and private sector) in the project implementation is pointed out repeatedly across the entire ProDoc.

#### 4.1.e. Linkages between project and other interventions within the sector

The ProDoc does not foresee any linkage with other projects. The evaluation exercise considers that the lack of linkages does not constitute a problem for the implementation of the initiative.

#### 4.1.f. Gender responsiveness of project design

A gender analysis is not included in the project designed. The lack of a gender analysis in the design does not constitute a problem because of the nature of the project, which is not oriented to direct implementation of activities on the ground. Indeed, the paragraph "Mainstreaming Gender" of the ProDoc is clear and straightforward and suggests the development of training on integrating gender through the use of gender disaggregated data and gender analysis tools in programme formulation and monitoring. The training should aim at the enhancement of the capacity of government officials for planning, budgeting and implementation of adaptation measures with a gender sensitive approach.

#### 4.1.g. Social and Environmental Safeguards

A specific Social and Environmental Screening Procedure that is normally applied to UNDP projects is not included in the ProDoc. The evaluation considers that this occurrence does not represent a deficiency of the design. Actually, the project is designed in accordance to the LEG Guidelines on NAP (2012), which cover satisfactorily the objectives of the UNDP's Social and Environmental Standards

(SES), i.e. maximizing social and environmental opportunities and benefits, avoiding adverse impacts to people and the environment and ensuring full and effective stakeholder engagement.

## 4.2. Project Implementation

### 4.2.a. Adaptive Management

The project was implemented in accordance to the ProDoc. No need for substantial changes of the project design emerged during the implementation. In the inception report, a detailed work plan for each output, activity and deliverable was drafted and approved. The work plan was the main management tool at disposal of the Project Team.

Obviously, when the COVID-19 pandemic broke out worldwide and the relevant national authorities put in place emergency restriction measures in March 2020, the Project Team had to adapt its working modalities. All events, which previously were thought as presential, turned into virtual and implemented via on-line communication applications/platform.

All stakeholders interviewed on the matter reported that the Project Team managed very well the transition from presential and on-line modalities. The participation of stakeholders did not diminish. On the contrary, the new set up promote a better interaction between the first and second level of administration of the public sector of the country: not having to attend events away from their place of residence has facilitated exchanges between officials working and residing at distant places from each other.

Due to the COVID-19 pandemic, a no-cost extension was granted in April 2021 to the project following the decision of the GCF to grant an extension of six months to some Readiness Programme and Project Preparation Facility grants in its portfolio. Now of the evaluation, UNDP submitted the request for the second no-cost extension to the donor (four months). The evaluation exercise considers the request of the second no-cost extension as very relevant and fully justified. It is necessary mainly to implement dissemination activities.

### 4.2.b. Actual stakeholder participation and partnership arrangements

As reported in the third NAP-Cities progress report, during the project, the following events, meetings and workshops were conducted:

- 60 meetings of the project Technical Committee;
- 15 meetings of the extended project Technical Committee;
- 230 interviews to identify information and capacity development gaps
- 3 annual plans for capacity development
- More than 40 presential and virtual training events
- 3 workshops and 15 meetings on human rights and gender issues
- 5 workshops with the Faculty of Information and Communication (*Facultad de Información y Comunicación de la Universidad de la Republica*).
- 5 workshops with the Uruguayan Architects Society (*Sociedad de Arquitectos del Uruguay*)
- 1 postgraduate course with the Faculty of Architecture, Design and Urbanism (*Facultad de Arquitectura, Diseño y Urbanismo de la Universidad de la Republica*)

The participation involved more than 500 person of the public, private and academic sector. The involvement included more than 1'200 participants in workshops and meetings with children, youth and teachers.

The great level of participation is the most outstanding project feature, according to most interviews conducted during the data collection phase. Although participation is promoted in many projects in

Uruguay, such vast and deep involvement of different institutions and individuals was reported to be unusual for the country. It was very much appreciated.

Briefly, as pointed out in the project communication strategy, the development process of the NAP Cities built and sustained a network of coordination and collaboration allowing the collectively elaboration and agreement on assessments, objectives, priority strategic lines as well as the specific measures that the NAP would propose. This network involved a variety of actors on a national , departmental and local scale, linked to public, private, academic and civil society sectors, related to various topics (land use planning, public spaces, housing, transportation, health, water and sanitation services, tourism, solid waste, food safety, energy, risk management, etc.) with an interdisciplinary perspective.

To guarantee this process, the project's communication and participation strategy planned and developed dissemination and information actions aimed at the various target audiences, in addition to conceiving processes of exchange, training, and awareness, intended as intermediate and key stages of the participatory process. Each one of the actions in which the project was involved, as well as its related institutions, constituted opportunities for building links and the strengthening of networks that will transcend the project itself, and that will sustain future implementation of the NAP Cities.

#### 4.2.c. Project Finance<sup>5</sup>

Project funds were spent in line with the original budget included in the ProDoc. There were no significant variance between planned and actual expenditures.

The following table shows the project budget included in the request for no-cost extension submitted to the donor in May 2021, i.e. during the evaluation exercise.

Item	ProDoc (USD)	Expenditures (USD)	Balance (USD)	Proposed (USD)	Difference (USD)
Output 1	522.000,00	380.729,66	141.270,34	142.890,50	-1.620,16
Output 2	930.000,00	442.205,64	487.794,36	488.522,28	-727,92
Output 3	549.000,00	45.232,93	503.767,07	503.767,07	0,00
Output 4	228.000,00	148.445,74	79.554,26	65.665,63	13.888,63
Output 5	135.000,00	0,00	135.000,00	146.540,55	-11.540,55
Contingency	23.460,00	0,00	23.460,00	1.377,27	22.082,73
Project Management	99.463,00	61.278,13	38.184,87	60.267,60	-22.082,73
<b>TOTAL</b>	<b>2.486.923,00</b>	<b>1.077.892,10</b>	<b>1.409.030,90</b>	<b>1.409.030,90</b>	<b>0,00</b>

Now of the evaluation, UNDP requested a no-cost extension to the donor, i.e. the GCF. Consequently, the balance was revised accordingly keeping in mind the original version. The variance between the seven budget lines is minimal. There is only one evident change: the budget line "contingency" is re-allocated for its 94% to "project management", which was approved by the donor as per the rules for the 6 month COVID-19 extension. The evaluation exercise consider this choice logic, rational and justified by project needs.

<sup>5</sup> According to the "Guidance for conducting terminal evaluation of UNDP-supported, GEF-financed projects", this section should be named "Project Finance and Co-finance". The project does not foresee any co-finance, therefore the section is renamed as "Project Finance".

#### 4.2.d. Monitoring & Evaluation: design at entry, implementation, overall assessment of M&E

An articulated M&E system was not needed to monitor the implementation of the project.

The central idea of the project was to articulate a discussion with relevant stakeholders to formulate the National Adaptation Plan for cities and infrastructure in Uruguay. The implementation of each activity included in the ProDoc was under the full control of the Project Team and therefore the monitoring of the activities overlapped fully with their implementation. The project substantially foresaw the production of a series of outputs.

In addition, the Project Team had to report to the GCF twice per year by compiling the Readiness Progress Reports and yearly to the UNDP C . The format of the reports included all relevant information to follow up the implementation of the project.

Finally, the report has dedicated sections for milestones and deliverables achieved and for planned activities and corresponding deliverables/milestones for the next reporting period. Briefly, the Readiness Progress Reports obliged the Project Team, the UNDP CO and the GCF to follow up the implementation of the project very closely.

Finally, the great involvement of the members of the Technical Committee (refer to section “4.2.b. Actual stakeholder participation and partnership arrangements”) made sure that the quality of the deliverables was in line with the expectations of the institutions, which are the main national institutional partners and beneficiaries of the project.

The TE values the **M&E design at entry** of the project as **Satisfactory**.

The TE values the **M&E Plan Implementation** of the project as **Satisfactory**.

The TE values the **Overall Quality of M&E** of the project as **Satisfactory**.

#### 4.2.e. UNDP implementation/oversight, Implementing Partner execution and overall assessment of implementation/oversight and execution

The project was implemented following UNDP’s direct implementation modality (DIM)<sup>6</sup>, per the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP.

Nevertheless, the project was implemented in strong coordination with the relevant national institutions, who were deeply involved both in the Project Board and in the Technical Committee:

- *Ministerio de Vivienda y Ordenamiento Territorial (MVOT)*, specifically with:
  - *Dirección Nacional de Ordenamiento Territorial (DINOT)*
  - *Dirección Nacional de Vivienda (DNV)*
  - *Programa de Mejoramiento de Barrios (PMB)*
- *Ministerio de Ambiente (MA)* specifically with:
  - *Dirección Nacional de Cambio Climático (DNCC)*
  - *Dirección Nacional de Aguas (DINAGUA)*
  - *Dirección Nacional de Gestión Ambiental (DINAMA)*
- *Agencia Nacional de Vivienda (ANV)*
- *Movimiento pro Erradicación de la Vivienda Insalubre Rural (MEVIR)*

<sup>6</sup> Direct Implementation (DIM) is the modality whereby UNDP takes on the role of Implementing Partner. In DIM modality, UNDP has the technical and administrative capacity to assume the responsibility for mobilizing and applying effectively the required inputs in order to reach the expected outputs. UNDP assumes overall management responsibility and accountability for project implementation. Accordingly UNDP must follow all policies and procedures established for its own operations.

Every individual interviewed on the matter during the data collection phase of the present evaluation exercise appreciated the quality of the work done in terms of project management by UNDP, specifically by its Project Team. The positive feedback on the Project Team was valued as a key factor for the excellent performance of the project in terms of participation and quality of deliverables.

The UNDP CO Team was in constant communication with the Project Team and supported the smooth implementation of activities with all the administration, financial planning and procurement work. The UNDP CO Team also provided a valid support for the general orientation of project activities. Whereas the UNDP Regional Office supported the Project Team by ensuring the compliance with quality criteria of project reporting to the Donor.

The evaluation considers that three were the key elements that ensure the high level of performance of the Project Team:

- High level of specific and diverse competences and skills of the core Project Team  
The project Coordinator and the Project Assistant were supported in their coordination work by a Communication Expert, a Subject Matter Expert and a Socio-economic Expert. Each of them could oversee the implementation of activities that fell under the sphere of competence.
- The deep involvement of the Technical Committee in project implementation.  
It ensure the high level of effectiveness, sustainability and country ownership that characterized the project.
- The inclusion of two specific professionals into the Project Team, i.e.  
The Communication and Participation Strategy Officer and the Gender Officer were key officers for the implementation of the project.

The TE values the **Quality of UNDP Implementation/Oversight** of the project as **Highly Satisfactory**.

The TE values the **Implementing Partner execution** of the project as **Highly Satisfactory**.

The TE values the **Overall Implementation/Oversight and Execution** of the project as **Highly Satisfactory**.

#### 4.2.f. Risk Management

As mentioned in section “4.1.b. Assumptions and Risks”, no risks were identified in the ProDoc.

As elsewhere worldwide, the project was affected by the COVID-19 pandemic. The emergence of the pandemic in 2020, made necessary changes in the way project events were conducted.



### 4.3. Project Results and Impacts<sup>7</sup>

#### 4.3.a. Project achievements<sup>8</sup>

Outputs	Activities	Achievements
<b>Project Output 1</b> National mandate, strategy and steering mechanisms are in place and gaps are assessed	1.1. Launch the NAP Cities process and establish institutional arrangements for coordination 1.2. Stocktake of urban adaptation planning, and assess gaps in available information on climate change impacts at city level. 1.3. Identify capacity gaps and weaknesses in implementing NAP-Cities 1.4. Comprehensively and iteratively assess development needs from a climate perspective	<b>The output was achieved.</b> <b>Main deliverables:</b> → Inventory and balance of urban planning of adaptation elaborated. Deficiencies that exist in the available information on the effects of climatic change at city level evaluated. → Existing national experiences and best urban planning practices identified and evaluated. → Documentation and analysis of planning mechanisms; their strengths and weaknesses drafted. → Screening of existing development and investment plans of central agencies that involve cities (e.g. spatial planning, health, tourism, water, sewage treatment...) and existing local land-use plans to identify needs regarding the assessment and integration of climate-related risks.
<b>Project Output 2</b> Preparatory elements for the NAP in place to develop a knowledge-base and formulate a NAP	2.1. Undertake multi-hazard risk assessments addressing major climatic hazards to cities 2.2. Assess new and important climate-induced vulnerabilities in urban areas 2.3. Identify and appraise adaptation options for major hazards affecting Uruguayan cities 2.4. Formulate and disseminate the NAP-Cities 2.5. Integrate climate change adaptation into national and local development and sectoral planning and budgeting	Now of the evaluation, <b>the output was not yet formally achieved</b> . However, the evaluation considers it as <b>substantially achieved</b> <b>Main deliverables:</b> → Multi-hazard risk assessment: Report with vulnerability assessment and risks for each zone elaborated and presented. → Methodological guide for multi-hazard risk assessment elaborated. → Vulnerability assessment of vector-transmitted and waterborne diseases; heat waves and heat islands conducted in the four selected urban locations and incorporated to the multi hazard assessment. → Develop and test interactive and multi-criteria decision support tools to help national and local governments and communities to assess, visualize and understand the potential impacts of climate change and develop adaptive solutions <b>Main deliverables to be completed:</b> The NAP-Cities as a final consolidated document and its validation by relevant stakeholders is the last missing step. In addition, there is still the necessity to disseminate to a variety of stakeholders in the country, once all outputs are completely achieved.

<sup>7</sup> The report at hand does not include the section “GEF addinality” foresaw in the “Guidance for conducting terminal evaluation of UNDP-supported, GEF-financed projects”. Being the project financed by the GCF, that section is evidently not relevant.

<sup>8</sup> According to the “Guidance for conducting terminal evaluation of UNDP-supported, GEF-financed projects” The title of the section should be “Progress Towards Objective and Expected Outcomes”. It was changed into “Project’s achievement” to better adhere to the design of the project, which does not include a structured logical framework with defined objective, outcomes and related indicators and target levels.



<p><b>Project Output 3</b> NAP implementation facilitated</p>	<p>3.1. Prioritize climate change adaptation in national and local planning and budgeting 3.2. Develop an implementation strategy for NAP-Cities 3.3. Enhance capacity for planning, budgeting and implementation of adaptation</p>	<p><b>The output was achieved.</b> <b>Main deliverables:</b> → First Adaptation Pilot in Paysandú Final Report “Adaptation of Housing Units to Climate Change and Variability”. → Specific training for planners on methodologies for planning under uncertainty, developed. → An inter-institutional management model for the NAP- Cities implementation and adaptation mainstreaming developed → Standardized method and policy recommendations on integrating adaptation into Land Planning plans and budgets developed and tested. → Criteria to evaluate public investment programs in urban adaptation proposed.</p>
<p><b>Project Output 4</b> Mechanisms for Reporting, Monitoring and Review of NAP-Cities and adaptation progress in place</p>	<p>4.1. Enhance capacity to monitor the NAP-Cities process and adaptation progress 4.2. Review the NAP-Cities process to assess progress, effectiveness and gaps. 4.3. Conduct outreach on the NAP-Cities process and report on progress and effectiveness</p>	<p><b>The output was achieved.</b> <b>Main deliverables:</b> → Urban planning adaptation indicators articulated with the Climate Change National Policies, Nationally Determined Contributions, Sustainable Development Goals and other Territorial Ordering tools elaborated and baseline calculated. → Mechanism to monitor and update the NAP Cities elaborated. <b>Observation:</b> The output is formally and substantially achieved. There is the necessity to disseminate it across relevant stakeholders (activity 4.3.)</p>
<p><b>Output 5</b> Funding strategy for the NAP-Cities and CCA is available</p>	<p>5.1. Conduct studies to inform future investments in adaptation across sectors at the cities and local level 5.2. Identify, analyse and recommend policy options for scaling up financing for adaptation, including through public-private partnerships 5.3. Develop a financing strategy for the NAP-Cities</p>	<p>Now of the evaluation, the output was not yet formally achieved. However, the evaluation considers it as substantially achieved. Actually, the work is on going and expected to be concluded by the end of the project. <b>Main deliverables:</b> Report on incentives and costs to encourage private investment and encourage public-private partnerships in planning and budgets <b>Main deliverables to be completed:</b> → A funding strategy for the NAP Readiness from donors and national and subnational budgets → A financing strategy for the implementation of NAP-Cities to be updated iteratively in the framework of the National Climate Change Response System (<i>Sistema Nacional de Respuesta al Cambio Climático, SNRCC</i>).</p>

#### 4.3.b. Relevance

As already mentioned in the report, the project built upon the priorities set forward in the National Climate Change Response Plan of 2010 and the National Policy on Climate Change of 2017. It was designed to address the main gaps to integrating climate change adaptation into cities and local government planning and budgeting, as identified in the stakeholders' consultation process that was undertaken in 2016.

The MVOTMA, split into two ministries (July 2020), i.e. MOA and MVOT, led the process together with UNDP of the formulation the project to ensure the alignment to their institutional needs and strategies. Different directorates, nowadays belonging to the two institutions participate in the consultations, which eventually inform the ProDoc. Now of the evaluation two directorates belong to the MoA:

- Water Directorate (*Dirección Nacional de Aguas, DINAGUA*)
- Climate Change Directorate (*Dirección Nacional de Cambio Climático, DNCC*)

And, two to the MVOT:

- Land Use Planning Directorate (*Dirección Nacional de Ordenamiento Territorial, DINOT*)
- Housing Directorate (*Dirección Nacional de Vivienda, DNV*)

DINOT and DNCC also sat in the Project board along with UNDP and the Uruguayan Agency of International Cooperation (*Agencia Uruguaya de Cooperación Internacional, AUCI*).

The project is part of the government's effort to formulate sectorial national adaptation plans, i.e. for agriculture, coasts, cities, energy and health. The NAP-Cities is, as well, a necessary step to update the Nationally Determined Contributions (NDC) of Uruguay and related adaptation to climate change actions as a contribution to achieve the global targets set out in the Paris Agreement. As such, the project fits with the institutional mandate of UNDP to promote the Agenda 2030 and the attainment of its Sustainable Development Goals (SDGs). Under this perspective, the most important SDGs and targets pursued by the project are:

#### SDG 11 – Sustainable Cities and Communities

Make cities and human settlements inclusive, safe, resilient and sustainable.

Target:

11.b: substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels

#### SDG 13 – Climate Action

Take urgent action to combat climate change and its impacts

Targets:

13.1: Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries

13.2: Integrate climate change measures into national policies, strategies and planning

13.3: Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning

The project was as well very relevant for the second and third level of administration, i.e. *intendencias* and *municipios*. In fact, these institutions are those that will be in charge of carrying out many of the adaptation measures identified within the project.

For the academic institutions, the project was very relevant too. It served and informed the three institutional pillars of action of the universities in Uruguay, i.e. teaching, investigation and extension.

Finally, all stakeholders interviewed on the matter confirmed that the project was relevant to land the topic of climate change adaptation in a very comprehensive way, which resulted as well tailored to the specific capacity development needs of the different stakeholders who took part in the project.

Finally, the project aimed at contributing to the Strategic plan outcome 2 “Accelerate structural transformations for sustainable development” and outcome 3 “Build resilience to shocks and crises” of the UNDAF/Country Programme Document (2021-25). At global level, instead, the project was clearly related to UNDP Strategic Plan output “2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis”.

The TE values the **relevance** of the implementation of the project as **highly satisfactory**.

#### 4.3.c. Effectiveness

The project substantially achieved/or is expected to achieve all its outputs (refer to section 4.3.a. “Project achievements” for details). In doing that, it contributed to the promotion of the Agenda 2030, specifically to SDG 11 – Sustainable Cities and Communities and SDG 13 – Climate Action.

The final planning document “National Adaptation Plan to Climate Change for Cities and Infrastructure” is going to be released by the end of the project: a comprehensive planning document equip national and local administration with the necessary guidance to move ahead with adaptation measures. It covers all relevant aspects as required by the UNFCCC. Its actual contribution to the UNDP programming in Uruguay is undeniable. It moved ahead the efforts towards the strategic plan outcome 2 “Accelerate structural transformations for sustainable development” and outcome 3 “Build resilience to shocks and crises” of the UNDAF/Country Programme Document (2021-25).

All stakeholders interviewed on the matter agreed that the project had a significant effect in terms of improved capacities both at institutional level and at personal level. The capacity development impacts is evident if the high degree of participation and the actual number of events are taken into consideration (refer to section 4.2.b. “Actual stakeholder participation and partnership arrangements” for details). All stakeholders interviewed on the matter reported to the International Evaluator that, in their opinion, the project addressed systematically the main gaps to integrating climate change adaptation into cities and local government planning and budgeting. The convergence of opinion on this issue was full.

During the evaluation exercise, anecdotal evidences showed already some effects/impacts that the project had on the work of the *Intendencias*, *Municipios* and the academic sector.

The *Intendencia de Paysandú* already incorporated inputs coming from the pilot project, conducted in the frame of the project, in a regulation (*normativa*), which will be financed by the creation of a revolving fund from the project “Adaptation to Climate Change in Coastal Cities and Ecosystems of the Uruguay River”. The project is approved and financed by the Adaptation Fund of the Kyoto Protocol and implemented by the *Corporación Andina de Fomento* (CAF). It is expected to start in 2021. The *normativa* is part of the *Plan Paysandú*, which is the main development planning tools of the *Intendencia* itself.

It was reported to the International Evaluator that most of the elements of the NAP-Cities will be incorporated by the *Intendencia de Canelones* into the “*Plan Local Canelones Capital*”, which is the urban planning document of the city Canelones. The *Intendencia de Montevideo* is as well developing its own *Plan de Acción Climática* (Climate Action Plan), which will integrate adaptation measures.

The evaluation exercise could identify a great impact of the project within the academic sector:

- The project contributed significantly to the introduction of the topic CC for the first time ever in the work of the Faculty of Information and Communication (*Facultad de Información y Comunicación de la Universidad de la República*). The project acted as a catalyser and triggered the idea to run a course for continuing education on the subject “communicating the climate change”.
- Within the Faculty of Architecture, Design and Urbanism (*Facultad de Arquitectura, Diseño y Urbanismo de la Universidad de la República*), the effect of the project was even more visible. It contributed to the definition of proposals for four master thesis directly related to the project experience in Rivera, Canelones, Juan Lacaze and Montevideo. In addition, climate change was the main topic discussed during the inauguration of the last academic semester in April 2021. Finally, the project experience interested about 30 professional of the faculty, and, now of the evaluation, climate change is considered an important element that may help to open up opportunities for investigation and teaching with the activities of the *Centro Académico de Sostenibilidad* whose establishment is in the plans for the near future of the faculty.

Therefore, the capacity development impact of the project on the academia can be considered very broad and it is expected to produce effects in the long term much beyond the years of implementation. In this regard, it was reported during the interviews carried out in the frame of evaluation exercise that material and experiences of the project, will be used for the redaction of scientific articles on climate change adaptation and urban planning.

The project did not have an impact on the Faculty of Sciences (*Facultad de Ciencias de la Universidad de la República*). Actually, the Faculty of Science intervened in the project to produce the climate change scenarios to improve understanding of temperature, rainfall (funded by the project NAP-Coast) and wind in different regions of Uruguay, focusing on localities of particular interest and to carry out some events (workshops) to disseminate them to project audience. It is self-evident that the production of this knowledge is not only important for the project aims. These projections are very relevant for a variety of stakeholders much broader than the project and its partners, who could be benefitting from the existing knowledge and data for many different purposes. Shortly, it is information of public utility and interest. Under this perspective, the projections are considered a beneficial impact for the Uruguayan society as a whole.

The TE values the **effectiveness** of the implementation of the project as **highly satisfactory**.

#### 4.3.d. Efficiency

Two elements played an important role in promoting a high degree of efficiency of the project implementation: the project was well designed and very relevant for all stakeholders. Indeed, following the LEG Guidelines on NAP (2012) of the UNFCCC Secretariat resulted to be key to guide all the implementation process. Shortly good design and relevance were the pre-requisite for a project to be efficient. Other factors were important, too. The evaluation exercise acknowledges the importance of the following:

- **The quality of the Project Team**  
All stakeholders interviewed on the matter consider the managerial, technical and inter-personal capacities of all members of the Project Team as essential elements for the success of the initiative.

- **Participation**

All stakeholders deemed the high degree of participation that promoted effective dialogue and inclusion essential.

- **Gender**

Hiring a dedicated consultant for gender matters was as well a key aspects promoting the overall efficiency of the implementation.

- **M&E**

M&E activities were satisfactorily implemented (refer to section “4.2.d. Monitoring & Evaluation”).

- **Coordination of activities with the NAP-coast project**

The coordination made possible to make an intelligent use of funds.

For example, the project NAP-Coast project financed the Faculty of Sciences (*Facultad de Ciencias de la Universidad de la Republica*) to develop the climate scenarios on temperatures and rains, whereas the NAP-Cities financed the development of those on winds. In addition, the two projects made use of a contribution of the Climate Technology Centre & Network (CTCN), the technological arm of UNFCCC to finance to run a model on the interaction between climate change and sea level rise by contracting a professor from the University of Cantabria, Spain (*Universidad de Cantabria*). Finally, NAP-Cities financed the Faculty of Engineering (*Facultad de Ingeniera de la Universidad de la Republica*) for the technical report containing the applied methodology and the Climate Change projections of the coastal dynamics.

- **Utilization of project funds**

Funds were spent in accordance to what was planned per each main output. They were also spent strategically:

- **Hiring of consultants**

The choice of the Project Manager to ensure the continuity of work of the project consultants revealed to be strategic. This continuity allowed an internal learning process within the Project Team and a better coordination with stakeholders.

- **National/International consultants**

The hiring of national consultants, whenever possible, was a strategic choice as well. It promoted the development of capacities within the country. International consultants were hired when local capacities were not available. Briefly, filling real gaps with external support and building on existing national capacities was the strategy.

The worldwide COVID-19 pandemic hit Uruguay in 2020. The Project Team had consequently to revise the implementation in accordance to the restrictions that were put in place by the GoU. Most of the events of the project turned necessarily virtual, i.e. implemented through on-line communication applications/platforms that became popular worldwide in response to the pandemic. In the opinion of the stakeholders interviewed, the Project Team managed very well the transition to this new modality of work. However, some delays in the implementation occurred.

Now of the evaluation (May 2021), the UNDP submitted a request for a no-cost extension. The evaluation exercise considers the choice pertinent and justified.

The adoption of on-line platforms for organizing project events had as well a positive effect. In fact, it shortened the distances between the first and the other two level of administration. Briefly, events could enjoy the participation of actors from institutions geographically very distant. It is probable that

events in presence could not reach the same level of participation, especially if we consider the distances between the various urban areas of the country.

The TE values the **efficiency** of the implementation of the project as **highly satisfactory**.

#### 4.3.e. Sustainability: financial, socio-political, institutional framework and governance, environmental, overall likelihood of sustainability

##### Financial sustainability

The project carried out a significant work to have in place by its end a funding strategy for the NAP-Cities. In addition, it was confirmed during the interviews that the implementation of the NAP-Cities will be partially funded by national and departmental authorities within the budgetary possibilities of each authority. The will to integrate the elements from the NAP-Cities into the planning tools at disposal of the *intendencias* and *municipios* emerged during all interviews with relevant stakeholders.

The TE assesses the **financial sustainability** of the project as **probable**.

##### Socio-political sustainability

The project engaged since its formulation phase with technicians and consultants working for the MVOT and MA. The continuity of the work before and after the national elections held in October 2019 was ensured by the involvement of those technicians and consultants, who actually formed the project Technical Committee. Finally, the representatives of the Project Board as well confirmed their intentions to push forward the climate change adaptation efforts.

Briefly, the evaluation exercise could not identify any socio-political risks for the sustainability of the project, i.e. for the future implementation of the NAP-Cities. On the contrary, the recently approved *Plan Quinquenal de Viviendas (Five-year Housing Plan)*, which includes the adaptation as a priority action, is a promising sign for the sustainability of the project.

The TE assesses the **socio-political sustainability** of the project as **probable**.

##### Institutional framework and governance sustainability

There are no Institutional framework and governance risks for the sustainability of the achievement of the project. On the contrary, the project worked on strengthening institutional capacities, governance mechanisms, and planning and programming frameworks to identify and implement adaptation measures to climate change.

The TE assesses the **institutional framework and governance sustainability** of the project as **probable**.

##### Environmental sustainability

There are no environmental risks, which can jeopardize the achievement of the project.

The TE assesses the **environmental sustainability** of the project as **probable**.

The TE assesses the **overall likelihood of sustainability** of the project as **probable**.

#### 4.3.f. Country ownership

The country ownership of the initiative is full.

The project originated from the will of the MVOTMA (nowadays split into MVOT and MoA). In parallel to the NAP-Cities, the GoU initiated a broader process, which included the formulation of other four NAPs:

- NAP Agriculture, which is already formulated
- NAP Coast
- NAP Energy
- NAP Health



The efforts of the GoU to develop capacities for climate change adaptation is self-evident.

Finally, it is important to highlight that the GoU steered the implementation of the project both at decision-making level and at technical level. The Project Board included UNDP, AUCI, MA and MVOT, while the Technical Committee includes eight members belonging to national institutions, i.e. MEVIR, DNCC, DINAGUA, DINOT, *Programa de Mejoramiento de Barrio*, the National Housing Agency (*Agencia Nacional de Vivienda*, ANV), and the National Quality and Environmental Evaluation Directorate (*Dirección Nacional de Calidad y Evaluación Ambiental*, DINACEA). Some of the technical officers/consultants, who sit in the Technical Committee, participated also in the formulation of the ProDoc. The Technical Committee met twice a month with the Project Team. Its awareness about the progress of project activities was full; the project resulted well and completely integrated in the daily working activities of the two ministries.

The ownership of the project is not limited to the national authorities. Now of the evaluation, some *Intendencias* and *municipios* are already incorporating relevant elements of the NAP cities into their planning instruments. Under this perspective, the project was also important because it contributed to the decentralization process of competencies that dated back to 2008 (*Ley N° 18308 de Ordenamiento territorial y Desarrollo Sostenible*) and 2009 (*Ley n. 18567 de Descentralización Política y Participación Ciudadana*)

The high level of participation of institutions, organizations and individuals in project activities speak for itself about the great level of ownership that goes beyond its institutional boundaries. Many of the persons interviewed talked about “project spill-overs” (“*derrames del proyecto*” in Spanish) that, to different extent, interested a vast and diverse national audience.

#### 4.3.g. Gender equality and women’s empowerment

Mainstreaming Gender equality was an important feature that characterized the implementation of the project: an expert on gender issues was hired and formed part of the Project Team. In addition, the Gender Expert worked in collaboration with the Gender Focal of the Climate Change National Directorate (*Dirección Nacional de Cambio Climático*, DNCC).

A road map (*hoja de ruta*) for mainstreaming gender issues into the NAP-Cities was developed and followed during the project implementation, which entailed 3 workshops and 15 meetings on human rights and gender issues involving more than 100 participants from different institutions.

The adaptation measures included in the final document “National Adaptation Plan to Climate Change for Cities and Infrastructure” are categorized in relation to its potential impact on gender inequalities if implemented. Four categories are identified in the NAP-Cities:

- Neutral: by technical definition, gender mainstreaming will not be applied.
- Gender-sensitive: integrates the gender approach from the generation of basic information disaggregated by sex, but does not necessarily imply corrective actions.
- Responsive to gender: measures that integrate corrective actions for gender inequalities, recognition or reduction of gaps in sectors traditionally structured by gender; they can include transformative measures that promote cultural changes that allow progress in the deconstruction of concepts linked to sex-generic representations and structural changes in the distribution of access, control and use of goods and resources.
- Blind potentially sensitive or responsive: measures originally blind to gender, which do not have basic information disaggregated by sex or contain corrective actions; but that have a direct potential impact on gender gaps and/or the possibility of generating basic information that allows gaps to be identified. If specific actions are not generated, there is the risk of deepening gender gaps.

The NAP-Cities also includes recommendations to incorporate and broaden the perspective of gender and generations with a human rights approach, focusing on groups of African descent people and people with disabilities.

Finally, it is important to note that the participation of women in the decision making process that guided the implementation of the project was significant: the core Project Team, who followed the entire process of implementation from its beginning counted with three women and two men. The Technical Committee, as well, counted with a majority of women, i.e. seven members out of eight.

#### 4.3.h. Cross-cutting Issues

The work done for mainstreaming human rights followed strictly the work done to promote gender equality (refer to section 4.3.g. “Gender equality and women’s empowerment” for details).

Finally, the promotion for a healthier environment, the promotion of conservation of ecosystem service outside urban areas, which affect life of people residing in cities, and the promotion of a better governance were at the core of the project implementation and deliverables. They are not considered cross-cutting issues in the frame of the project: they were at the core of it.

#### 4.3.i. Catalytic/Replication Effect

The idea of the project is to pave the way for a better implementation of the UNFCCC at country level in urban areas and to update the NDC of Uruguay. The redaction of the NAP-cities, which is ultimately the aim of the project, is by its own nature key for catalysing the implementation of adaptation. It is actually the guiding document to scaling up adaptation in urban areas of Uruguay. Other documents and publications, such as the technical guidelines produced in the frame of the project are as well complementary tools, which will help the efforts to move on with the convention in Uruguay.

#### 4.3.j. Progress to Impact

The project fulfilled the expectation included in the ProDoc. The evaluation exercise has recorded across all interviews a high degree of enthusiasm and satisfaction with the deliverables produced. The NAP-Cities includes all elements that will facilitate the integration of climate change adaptation, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies that apply to cities and local planning, and ultimately will contribute to the reduction of vulnerability to the impacts of climate change in the urban areas of Uruguay. As already mentioned (refer to section 4.3.f “Country Ownership”) some elements of NAP-Cities have been already incorporated in the planning instruments of the second and third level of administration of the country, i.e. *Intendencias* and *municipios*.



## 5. Conclusions, recommendations, lessons learned

### 5.1. Main findings

1. The formulation of the project was based on the LEG Guidelines on NAP (2012), entailed a great participation of relevant stakeholders, and was built upon the development of the National Policy on Climate Change (2017).
2. The design of the project identified clearly how the collaboration between UNDP and main institutional partners should be organized to promote effective project governance mechanisms.
3. The approved proposal and ProDoc clearly highlighted the great importance of participation of a vast array of national and local stakeholders.
4. A gender sensitive approach to guide the implementation of the project and inform its main deliverable was already suggested in the ProDoc.
5. The project was implemented in accordance to the ProDoc. No need for substantial changes of the project design emerged during the implementation. Because of the COVID-19 pandemic, all events, which previously were presential turned into virtual and were implemented via on-line communication applications/platform.
6. The great level of participation to project activities is the project's feature that emerged as the most outstanding both by consulting available documentation and throughout the whole process of interviews.
7. The participatory approach put in place by the Project Team was effective:
  - Stakeholders were properly informed prior their participation to any project event so to be able to actively take part in project activities;
  - The Project Team took feedback from the various participants into seriously consideration. In other words, the opinions and suggestions of the participants informed effectively the production of project's deliverables;
  - The Project Team made efforts in order to adjust project activities to specific needs of the stakeholders involved in the process.
8. Project funds were spent in line with the original budget included in the ProDoc.
9. The implementation of the project did not need an articulated M&E system. The implementation of each activity was under the full control of the Project Team and, therefore, the monitoring of the activities overlapped fully with their implementation. In addition, the Project Team had to report to the GCF twice per year by compiling the Readiness Progress Reports and yearly to the UNDP Country Office.
10. The great and active involvement of the members of the Technical Committee made sure that the quality of the deliverables was in line with the expectations of the main national institutional partners and beneficiaries of the project, i.e. MVOT and MA. The two institutions were as well involved both in the Project Board. The project also foresaw an active involvement of the SNRCC and other public institutions belonging to the National Government, such as the MIEM and the OPP.
11. The quality of the work done by UNDP, specifically by its Project Team, was appreciated by every individual interviewed on the matter. The deliverables of the project are considered as well very satisfactory in terms of overall quality.
12. Now of the evaluation, the project substantially achieved all expected outputs. There are still few activities to be completed. They mainly refer to the dissemination and socialization to

have the NAP-Cities document in its final version validated by relevant stakeholders, in line with the participatory approach that characterized the entire implementation process.

13. The project resulted aligned to the interests, both institutional and professional, of all stakeholders interviewed on the matter.
14. The project was implemented efficiently.
15. The evaluation exercise did not identify any kind of elements that may jeopardized the achievements of the project in the near future.

## 5.2. Conclusions

1. The project was effective. A comprehensive NAP-Cities document is expected to be completed by the end of the project. The project hit its tangible target. In doing so, the project developed substantially the capacity of the most relevant stakeholders, i.e. national ministries, institutions of the national government, *intendencias* and *municipios*. Its capacity development effects are very visible and concrete within the academic sector, too. The formulation of the NAP-Cities should not be considered as a mere redaction of a planning tool. Instead, it should be considered as a capacity development initiative, which ultimately result in delivering the NAP document.
2. The evaluation exercise considers that the project was designed carefully taking into consideration all main elements that are considered essential with the development sector, which are:
  - Utilization of a pertinent guiding document for its formulation;
  - The alignment to well-defined country priorities;
  - The early identification of roles of project partners (project governance);
  - A great degree of participation of interested stakeholders;
  - The inclusion of the gender approach as guiding principle for implementation.

In fact, these elements are identified as key in the "Guide for conducting the terminal evaluation of projects funded by the UNDP and funded by the GEF" on which this evaluation is based.

3. The evaluation considers the request to the donor of a four month-no-cost-extension well justified and pertinent.
4. The project proved to be relevant for all stakeholders involved in the process of the formulation of the NAP-cities.
5. The evaluation considers the sustainability of the project high. As expected in its design, the initiative paved the way for implementation of adaptation measures in urban areas of Uruguay, including also financing and funding strategies.
6. The country-ownership of the project is deep.
7. The project was effective in guaranteeing a respectful and fruitful dialogue between the first, second and third level of administration. All persons interviewed on the matter reported that this characteristic (i.e. the open and articulated dialogue between project stakeholders), for the intensity of the opportunities of discussion and participation, represented an element of novelty in Uruguay.
8. Gender and human rights were mainstreamed effectively in the implementation of the project and reflected accordingly in its deliverables.

### 5.3. Recommendations

The evaluation findings and conclusions of the present terminal evaluation are very positive. Recommendations to improve the course of action of the project by the end of its implementation are not needed. Furthermore, there would be not much time to implement them.

The evaluation identifies only a recommendation addressed to UNDP country office in Uruguay and more in generally to the UNDP country office worldwide.

#### Recommendation n° 1: to apply lessons learned n° 1 and n° 2 in other projects.

Lessons learned n° 1 and n° 2 may be applied to UNDP projects that include, amongst their outputs, the formulation of planning and regulatory documents or tool. Their application generates capacity development effects and promotes country ownership.

*Responsible entity: UNDP Country Office in Uruguay, and more generally any UNDP Country Office worldwide*

*Timeline: During the formulation phase and/or the inception phase of new initiatives.*

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### 5.4. Lessons learned

The terminal evaluation identified four lessons learned.

#### Lessons learned n° 1

The project resulted highly satisfactory in terms of relevance, effectiveness, efficiency and sustainability because of the following elements that emerged clearly during the entire evaluation process, i.e. both from the consultation of documents and from the absolute convergence of the answers obtained from the project actors interviewed:

- The active participation of beneficiaries and partner organizations in the formulation of a development initiative is key to ensure a high level of participation and country ownership during the implementation of the initiative.
- The design should build on existing pertinent guidelines, already tested by other recognized institutions.
- The set-up of management arrangements with clear roles for each main project partner already included in the project document facilitate the implementation of activities avoiding institutional misunderstandings about the specific responsibilities of each one.
- The coordination of different capacities, search for consensual solutions, and dedicated project staff to follow up the different lines of action with relevant expertise.
- The will to reach a large audience of participants and to enable them to actively participate in the process, i.e. inform them regularly about the progress of activities, the serious effort to take into consideration their feedback, and the openness to their needs is key for a successful implementation of a development initiative. Under this perspective, hiring project team members with specific knowledge and experience in communication, participation and gender issues is key.

In other words, the general approach that should characterize all UN initiatives finds in the NAP-Cities project the confirmation of its validity. This approach is, indeed, very relevant when it comes to formulate and implement capacity development initiatives.

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### Lessons learned n° 2

Mainstreaming effectively gender issues and human rights into national and local programming requires dedicated financial resources and staff able to produce relevant management tools to support the implementation of a given project. To be effective a generic will of the Project Team and Project Board is not enough. Cross-cutting issues are integral part of the approach that UN agencies should follow in all their interventions.

As for lesson-learned n. 1, the approach that should characterize all UN initiatives finds in the NAP-Cities project the confirmation of its validity.

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### Lessons learned n° 3

The thematic relevance of an initiative is evidently the pre-requisite for a development project to be successful. However, those in charge of project management should be able to capture the attention of other stakeholders. Relevant managerial competencies, commitment and capacities to listen and understand different interests, openness to dialogue and personal commitment are key factors to promote an effective engagement of stakeholders in a development initiative.

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### Lessons learned n° 4

The active involvement of the academic sector in development initiative is key in terms of knowledge generation and dissemination. The promotion of agenda 2030 and the attainment of SDGs constitute a challenge for all countries. Creation and diffusion of scientific knowledge on this regard is crucial. UN projects represents an ideal means to produce scientific knowledge rooted in practical experience for a broader audience, which may go beyond the physical borders of a country. Furthermore, by its very nature, the academic sector can take responsibility for continuing to work on project themes alone for its own teaching and research interest. In doing this, it may spread and broaden the knowledge generated within the project itself to a larger audience.

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## 6. Annexes

## Annex 1 - TE ToR (excluding ToR annexes)



### CONTRATO Y TERMINOS Y CONDICIONES GENERALES DE LA CONTRATACION

#### ANEXO 1 TERMINOS DE REFERENCIA

I. INFORMACION SOBRE LA CONSULTORIA
<p><b>Título:</b> IC URU18002-1069 Consultor/a internacional para la Evaluación final del Proyecto de tamaño mediano PNUD-FVC URU/18/002 “La integración del enfoque de adaptación en ciudades, infraestructura y planificación local en Uruguay”</p> <p><b>Supervisor/a:</b> Analista de Programa-Área Desarrollo Sostenible del PNUD en coordinación con la Consultora Principal del Proyecto.</p> <p><b>Tipo de Contrato:</b> Contrato Contratista Individual (IC)</p> <p><b>Duración del contrato:</b> plazo de 70 días calendario (se estima máximo 23 días de consultoría)</p> <p><b>Lugar de la Consultoría:</b> A distancia, lugar del consultor/a</p> <p><b>Fecha de inicio:</b> se estima en la primera semana de abril 2021.</p>
II. ANTECEDENTES
<p>De acuerdo con las políticas y los procedimientos de SyE del PNUD y del FMAM, todos los proyectos de tamaño mediano y ordinarios respaldados por el PNUD y financiados por el FMAM deben someterse a una evaluación final una vez finalizada la ejecución. Estos términos de referencia (TdR) establecen las expectativas de la evaluación final del Proyecto URU/18/002 “La integración del enfoque de adaptación en ciudades, infraestructura y planificación local en Uruguay” financiado por el Fondo Verde para el Clima (FVC) e implementado en conjunto con los Ministerios de Ambiente (MA) y Vivienda y Ordenamiento Territorial (MVOT) . El proyecto comenzó en enero de 2018 y está en su tercer año de implementación. La evaluación final se realizará según se establece en la “Guía para realizar evaluaciones terminales de proyectos respaldados por el PNUD y financiados por el FMAM” (<a href="https://procurement-notices.undp.org/view_file.cfm?doc_id=228271">https://procurement-notices.undp.org/view_file.cfm?doc_id=228271</a>).</p> <p>El Fondo Verde para el Clima (FVC) fue establecido en 2010, en el contexto de la Convención Marco de las Naciones Unidas para el Cambio Climático, con el propósito de contribuir de forma significativa y ambiciosa a los esfuerzos mundiales para enfrentar el cambio climático. El Fondo promueve un cambio de paradigma hacia un desarrollo bajo en carbono y resiliente al cambio climático, en el marco de un desarrollo sostenible, mediante el apoyo financiero a los países en desarrollo para reducir sus emisiones de gases de efecto invernadero y adaptarse a los impactos del cambio climático.</p> <p>El Ministerio de Ambiente (MA), Autoridad Nacional Designada (AND) de Uruguay frente al FVC y el el Ministerio de Vivienda y Ordenamiento Territorial (MVOT), con el apoyo financiero del FVC y actuando con el Programa de las Naciones Unidas para el Desarrollo (PNUD), como entidad acreditada ante el Fondo y socio implementador del proyecto, está llevando adelante un proceso de tres años para la preparación de un Plan Nacional de Adaptación en Ciudades e Infraestructuras.</p> <p>El proyecto se propone colaborar con el Gobierno de Uruguay a avanzar en el proceso del Plan Nacional de Adaptación en ciudades y gobiernos locales. Los principales objetivos son: (a) reducir la vulnerabilidad frente a los efectos del cambio climático mediante la creación de capacidades de adaptación y resiliencia en ciudades, infraestructuras y entornos urbanos; y (b) facilitar la integración de las medidas de adaptación al cambio climático en las políticas, programas y actividades correspondientes, tanto nuevas como existentes, en procesos y estrategias de planificación del desarrollo concretos dirigidos a las ciudades y la planificación local.</p> <p>El presupuesto total del proyecto es de US\$2.735.615 (incluyendo el GMS del Asociado en la Implementación, Delivery Partner para el FVC). El plazo del proyecto es de 36 meses, habiendo comenzado en mayo de 2018.</p>

## CONTRATO Y TERMINOS Y CONDICIONES GENERALES DE LA CONTRATACION

Uruguay se encuentra al este, en la zona templada de América del Sur, y tiene una superficie de 173.016 km<sup>2</sup> y una costa que abarca más de 680 Km. La población total es de 3.380.177 habitantes y aproximadamente el 70% de la población vive en zonas costeras y el 93% en zonas urbanas. Uruguay se enfrenta a riesgos climáticos como sequías, inundaciones, olas de calor, granizo, tormentas y tornados. Las inundaciones son cada vez más intensas y causan mayores daños a la agricultura y la infraestructura.

Por su propia naturaleza, el NAP-Ciudades facilitaría la integración de las medidas de adaptación al cambio climático en las estrategias, políticas y programas existentes, y la solicitud propuesta apunta a lograrlo centrándose en la planificación territorial y urbana a través de:

- (1) La creación y el fortalecimiento de capacidades para la incorporación de las medidas de adaptación al cambio climático en los procesos de planificación y presupuesto y en los sistemas de los gobiernos central y locales.
- (2) Mejorar los análisis de vulnerabilidad y riesgo con la utilización de proyecciones sobre el cambio climático futuro para producir evaluaciones de riesgo prácticas y consecuentes con la política para las ciudades y los gobiernos locales.
- (3) El diseño y la integración de métodos, herramientas y sistemas de información para informar con eficacia la toma de decisiones sobre los riesgos que conlleva el cambio climático para el desarrollo.
- (4) La formulación de estrategias de financiación y mecanismos para ampliar la escala de la adaptación en las ciudades y los gobiernos locales.

Este proyecto contribuirá a lograr el resultado MECNUD 1.1 (El país ha fortalecido sus capacidades e institucionalidad para asegurar la conservación de los recursos naturales, incluidos el agua, los servicios ecosistémicos, la prevención de la contaminación y la generación y el uso sostenible de la energía, promoviendo el desarrollo local y la creación de medios de vida) y el resultado MANUD 1.3 (El país ha fortalecido sus capacidades para la mitigación y adaptación al cambio climático, así como su resiliencia ante desastres). Además, el proyecto contribuirá al logro del Resultado 2 del Programa de País del PNUD (Estrategias, políticas y planes (nacionales/departamentales/sectoriales) formulados y aplicados para la adaptación y mitigación del cambio climático y la reducción del riesgo de desastres). El proyecto se encuentra alineado con el Producto 2.3.1 del Plan Estratégico del PNUD para 2018-2021: Políticas de desarrollo creadas en base a los riesgos y datos, sistemas y medios de financiación que incorporan soluciones integradas para reducir el riesgo de desastres, facilitar la adaptación y mitigación del cambio climático y prevenir las crisis. Contribuirá además al logro de los Objetivos de Desarrollo Sostenible 9 (Industria, Innovación e infraestructura, en particular a la meta 9.1), 11 (Ciudades y comunidades sostenibles, en particular a las metas 11.3., 11.4, 11.5, 11.a y 11.c) y 13 (Acción por el clima, en particular a las metas 13.2 y 13.3). Asimismo, esta iniciativa está alineada con la nueva agenda urbana definida en la Conferencia de las Naciones Unidas sobre Vivienda y Desarrollo Urbano Sostenible, Hábitat III.

El 13 marzo de 2020 se declaró la emergencia sanitaria por COVID-19 en Uruguay. A partir de esa fecha y hasta la actualidad, se han registrado 63.387 casos positivos confirmados de coronavirus, 54.861 ya se recuperaron y 8325 están cursando la enfermedad. El total de personas fallecidas en Uruguay hasta el momento son 631.

Esta situación ha obligado a re planificar las estrategias y metodologías de trabajo para poder realizar las actividades previstas de forma permanente. Ha sido un período especialmente difícil para cumplir con las planificaciones, ya que la gestión de la incertidumbre se ha tenido que extremar, necesitando poner en práctica nuevas estrategias metodológicas.

Por otra parte, a principios del mes de marzo, asumieron las nuevas autoridades electas y el 13 de marzo, debido a la situación de emergencia sanitaria se detienen todas las actividades laborales presenciales.



## CONTRATO Y TERMINOS Y CONDICIONES GENERALES DE LA CONTRATACION

Esta situación prácticamente simultánea, generó una demora en el contacto con los nuevos tomadores de decisión del proyecto, dificultando el conocimiento y aprobación de procesos que venían desarrollándose. Por otra parte, a partir de ese momento y hasta pasado la mitad del año, no se pudieron realizar viajes al interior del país, debiendo gestionar todas las actividades en forma remota. Estas restricciones han sido intermitentes con períodos de mayor y menor movilidad permitida.

Otra consecuencia generada por la situación de emergencia sanitaria fue la postergación de las elecciones departamentales. Las elecciones, inicialmente previstas para el mes de mayo, fueron realizadas en el mes de setiembre y las nuevas autoridades recién asumieron en el mes de diciembre. Esto también generó dificultades en el avance y la coordinación de actividades que se estaban desarrollando en conjunto con los gobiernos departamentales, ya que debieron re planificarse y re definirse las prioridades.

En paralelo, se aprueba por ley la creación de un nuevo Ministerio, el Ministerio de Ambiente (MA), quedando separado del Ministerio de Vivienda y Ordenamiento Territorial (MVOT). Esto también genera para el proyecto una situación particular ya que la Junta del Proyecto está constituida por la Dirección de Cambio Climático, hoy dependiendo del MA y la Dirección de Ordenamiento Territorial, hoy en el MVOT.

Ley de Presupuesto, aprobada en 2020, comienza a regir a partir de 2021, fecha en que quedó totalmente constituido el nuevo ministerio con sus nuevas autoridades y asumiendo plenamente sus funciones.

Por último, debemos decir que la situación problemática generada por la pandemia y la emergencia sanitaria aún no está superada, por lo cual aún estamos lidiando con estas dificultades e incertidumbres.

### III. PROPÓSITO DE LA EVALUACIÓN FINAL

En el informe de la evaluación final (EF) se valorará el logro de los resultados del proyecto con respecto a lo que se esperaba lograr, y se extraerán lecciones que puedan mejorar la sostenibilidad de los beneficios de este proyecto, así como ayudar a mejorar la programación general del PNUD. El informe de la evaluación final promueve la rendición de cuentas y la transparencia, y evalúa el alcance de los logros del proyecto.

La EF se concentrará en la entrega de los resultados del Proyecto como fueron planificados inicialmente y como fueron ejecutados en la realidad, analizando plazos y montos.

Analizará el impacto y sustentabilidad de los resultados, incluyendo la contribución al desarrollo de capacidades y al logro de los beneficios y metas propuestas, así como recomendaciones para actividades de seguimiento.

Esta evaluación final deberá resumir los resultados logrados (objetivos, resultados y productos), las lecciones aprendidas, los problemas encontrados y las áreas donde los resultados pueden no haberse logrado. También diseñará recomendaciones sobre los pasos a seguir para la sustentabilidad y replicabilidad de los resultados del Proyecto.

### IV. ENFOQUE Y MÉTODO DE LA EVALUACIÓN TERMINAL

La evaluación debe proporcionar información empírica que sea creíble, confiable y útil.

El consultor de la evaluación final examinará todas las fuentes de información pertinentes, incluidos los documentos elaborados durante la fase de preparación (es decir, el FIP, el Plan de iniciación del PNUD, el SESP del PNUD) el documento del proyecto, los informes del proyecto, incluidos los IEP anuales, las revisiones del presupuesto del proyecto, los informes de lecciones aprendidas, los documentos estratégicos y jurídicos nacionales y cualquier otro material que el equipo considere útil para esta evaluación con base empírica. El consultor de la evaluación final revisará los indicadores básicos/herramientas de seguimiento de referencia y de mitad de período del área focal del FMAM presentados al FMAM en las fases de aprobación del proyecto, y los

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Indicadores básicos/herramientas de seguimiento finales que deben completarse antes de que comience la misión sobre el terreno de la evaluación final.

Se espera que el consultor de la evaluación final adopte un enfoque participativo y consultivo que garantice una estrecha colaboración con el equipo del proyecto, las contrapartes gubernamentales (el Punto focal operativo del FMAM), los asociados en la ejecución, las oficinas del PNUD en el país, el Asesor Técnico Regional, los beneficiarios directos y otras partes interesadas.

El compromiso de los interesados es fundamental para el éxito de la evaluación final. La participación de las partes interesadas debe incluir entrevistas con los interesados que tengan responsabilidades en el proyecto, incluidas, entre otras, los integrantes de la Junta del Proyecto, integrantes del Comité Técnico del Proyecto, otros técnicos y funcionarios y jefes de equipo de tareas/componentes, expertos y consultores clave en el área temática, beneficiarios del proyecto, técnicos de Intendencias Departamentales, el sector académico, y OSC locales, etc. Todas estas reuniones se realizarán en forma virtual.

El diseño y la metodología específicos de la evaluación final deben surgir de las consultas entre el equipo de la evaluación final y las partes antes mencionadas sobre lo que sea apropiado y factible para cumplir el propósito y los objetivos de la evaluación final y responder a las preguntas de evaluación, dadas las limitaciones de presupuesto, tiempo y datos. No obstante, el equipo de la evaluación final debe utilizar metodologías e instrumentos sensibles al género y garantizar que la igualdad de género y el empoderamiento de las mujeres, así como otras cuestiones intersectoriales y los ODS, se incorporen en el informe de la evaluación final.

El enfoque metodológico final, que incluye el calendario de entrevistas y los datos que se utilizarán en la evaluación, debería esbozarse claramente en el informe inicial de la evaluación final, y el PNUD, las partes interesadas y el consultor de la evaluación final deberían debatirlo y ponerse plenamente de acuerdo acerca de este.

El informe final debe describir plenamente el enfoque de evaluación final adoptado y la justificación de dicho enfoque, haciendo explícitos los supuestos, desafíos, fortalezas y debilidades subyacentes sobre los métodos y el enfoque de la evaluación.

### V. ALCANCE DETALLADO DE LA EVALUACIÓN FINAL

La evaluación final evaluará el desempeño del proyecto en función de las expectativas establecidas en el Marco lógico/Marco de resultados del proyecto (consultar el anexo A de los TdR). La evaluación final evaluará los resultados de acuerdo con los criterios descritos en la Guía de evaluaciones finales para proyectos respaldados por el PNUD con financiación del FMAM ([https://procurement-notices.undp.org/view\\_file.cfm?doc\\_id=228271](https://procurement-notices.undp.org/view_file.cfm?doc_id=228271)). La sección de Conclusiones del informe de la evaluación final cubrirá los temas que se enumeran a continuación.

En el anexo C, se presenta un resumen completo del contenido del informe de la evaluación final

El asterisco "[\*]" indica los criterios para los que se requiere una clasificación.

#### i. Conclusiones

Diseño/formulación del proyecto

- Prioridades nacionales e impulso del país
- Teoría del cambio
- Igualdad de género y empoderamiento de las mujeres
- Salvaguardias sociales y ambientales
- Análisis del Marco de Resultados: lógica y estrategia del proyecto, indicadores

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- Supuestos y riesgos
  - Lecciones de otros proyectos pertinentes (p. ej., la misma área focal) incorporadas en el diseño del proyecto
  - Participación prevista de las partes interesadas
  - Vínculos entre el proyecto y otras intervenciones dentro del sector
  - Disposiciones de gestión
- iii. Ejecución del proyecto
  - Gestión adaptativa (cambios en el diseño y los productos del proyecto durante la ejecución)
  - Participación real de las partes interesadas y disposiciones de asociación
  - Financiación y cofinanciación de proyectos
  - Seguimiento y evaluación: diseño inicial (\*), implementación (\*), evaluación general del SyE (\*)
  - Organismo de implementación (PNUD) (\*) y Organismo de ejecución (\*), supervisión/implementación y ejecución generales del proyecto (\*)
  - Gestión de riesgos, incluidos los Estándares sociales y ambientales
- iv. Resultados del proyecto
  - El informe de la evaluación final debe evaluar de manera individual la consecución de los resultados de cara a los indicadores, e informar sobre el nivel de progreso de cada indicador de objetivo y resultado en el momento de la evaluación final, al tiempo que señala los logros finales.
  - Pertinencia (\*), efectividad (\*), eficiencia (\*) y resultado general del proyecto (\*)
  - Sostenibilidad: económica(\*), sociopolítica(\*), de marco institucional y gobernanza(\*), ambiental(\*), probabilidad general de sostenibilidad(\*)
  - Implicación nacional
  - Igualdad de género y empoderamiento de las mujeres
  - Cuestiones transversales (reducción de la pobreza, mejora de la gobernanza, mitigación y adaptación al cambio climático, prevención y recuperación de desastres, derechos humanos, desarrollo de la capacidad, cooperación Sur-Sur, gestión del conocimiento, voluntariado, etc., según corresponda)
  - Adicionalidad del FMAM
  - Función catalizadora/efecto de replicación
  - Progreso hacia el impacto
- v. Principales constataciones, conclusiones, recomendaciones, lecciones aprendidas
  - El consultor de la evaluación final incluirá un resumen de las principales conclusiones del informe de la evaluación final. Las conclusiones deben presentarse como declaraciones de hecho basadas en el análisis de los datos.
  - La sección sobre las conclusiones se redactará a partir de los resultados. Las conclusiones deben ser declaraciones completas y equilibradas que estén bien fundamentadas por la evidencia y lógicamente relacionadas con las constataciones de la evaluación final. Deben destacar los puntos fuertes, las debilidades y los resultados del proyecto, responder a preguntas clave de evaluación y proporcionar información sobre la identificación y/o soluciones de problemas o cuestiones importantes pertinentes a los beneficiarios del proyecto, el PNUD y el FMAM, incluidas cuestiones relacionadas con la igualdad de género y el empoderamiento de las mujeres.
  - Las recomendaciones deben ofrecer recomendaciones concretas, prácticas, factibles y específicas dirigidas a los usuarios previstos de la evaluación sobre las medidas que deben adoptarse y las decisiones que deben tomarse. Las recomendaciones deberían estar específicamente respaldadas por las pruebas y vinculadas con las constataciones y conclusiones en torno a las cuestiones clave abordadas en la evaluación.
  - El informe de la evaluación final también debe incluir lecciones que puedan tomarse de la evaluación, incluidas las mejores y peores prácticas para abordar cuestiones relacionadas con la pertinencia, el

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desempeño y el éxito, que puedan proporcionar conocimientos obtenidos de la circunstancia particular (métodos de programación y evaluación utilizados, asociaciones, apalancamiento financiero, etc.) Esto se aplica a otras intervenciones del FMAM y del PNUD. Cuando sea posible, el equipo de la evaluación final debe incluir ejemplos de buenas prácticas en el diseño y la implementación de proyectos.

- Es importante que las conclusiones, recomendaciones y lecciones aprendidas del informe de la evaluación final incluyan resultados relacionados con la igualdad de género y el empoderamiento de las mujeres.

El informe de la evaluación final contará con una tabla de valoraciones de evaluación, como se muestra a continuación:

**Tabla 2 de los Términos de Referencia: Tabla de valoraciones de evaluación del**

Proyecto URU/18/002	
Seguimiento y evaluación (SyE)	Calificación <sup>1</sup>
Diseño de SyE al inicio	
Implementación del Plan de SyE	
Calidad general de SyE	
Implementación y ejecución	Calificación
Calidad de la implementación/supervisión del PNUD	
Calidad de la ejecución del asociado en la ejecución	
Calidad general de la implementación/ejecución	
Evaluación de resultados	Calificación
Pertinencia	
Efectividad	
Eficiencia	
Valoración de los resultados generales del proyecto	
Sostenibilidad	Calificación
Recursos financieros	
Sociopolítica	
Marco institucional y gobernanza	
Medioambiental	
Probabilidad general de sostenibilidad	

### VI. ETICA DEL EVALUADOR

El consultor de la evaluación final deberá apegarse a los más altos estándares éticos, y se exige que firme un código de conducta al aceptar el encargo. Esta evaluación se llevará a cabo de conformidad con los principios esbozados en las "Directrices éticas para evaluaciones" del UNEG. El evaluador debe proteger los derechos y la confidencialidad de los proveedores de información, los entrevistados y las partes interesadas mediante medidas que garanticen el cumplimiento de los códigos jurídicos y de otro tipo pertinentes que rigen la recopilación de datos y la presentación de informes sobre estos. El evaluador también debe garantizar la seguridad de la información recopilada antes y después de la evaluación, así como de los protocolos que garantizan el anonimato y la confidencialidad de las fuentes de información cuando esté previsto. Los conocimientos y datos de información reunidos en el proceso de evaluación también deben utilizarse exclusivamente para la evaluación y no para otros usos sin la autorización expresa del PNUD y sus asociados.

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VII. CRONOGRAMA

La duración total de la evaluación final será se estima en 25 días de trabajo durante un período de 70 días corridos. El cronograma tentativo de evaluación final es el siguiente:

Actividad	Días de trabajo	Fecha de finalización
Informe Inicial de la Evaluación final	4 días	Máximo a los 10 días corridos de firmado el contrato
Entrevistas a actores seleccionados	10 días	Fecha a acordar con PNUD y Consultor Principal
Informe Preliminar de Evaluación final	7 días	Dentro de las dos semanas siguientes a las entrevistas
Informe Final	4 días	Máximo a los 65 días corridos de firmado el contrato.

VIII.RESULTADOS CONCRETOS DE LA EVALUACIÓN FINAL

N.º	Resultado esperado	Descripción	Plazo	Responsabilidades
1	Informe inicial de la evaluación final	El consultor de la evaluación final aclara los objetivos, la metodología y el plazo de la evaluación final	Máximo a los 10 días corridos de inicio del contrato	El consultor de la evaluación final envía el informe inicial a la unidad encargada y a la dirección del proyecto
2	Presentación	Constataciones iniciales	A los 20 días corridos del inicio del contrato	El consultor de la evaluación final presenta a la unidad encargada y a la dirección del proyecto
3	Proyecto de informe de evaluación final (Informe Preliminar)	Proyecto del informe completo (usando las directrices sobre el contenido del informe del anexo C de los TdR) con anexos	A los 50 días corridos del inicio del contrato	El consultor de la evaluación final envía a la unidad encargada; con revisión del ATR de la DPAP-FMAM, la Unidad de Coordinación de Proyectos, el Punto focal operativo del FMAM
5	Informe final de la evaluación final* + Historial de auditoría	Informe final e historial de auditoría de evaluación final, en que la evaluación final detalla cómo se han (o no se han) abordado todos los comentarios recibidos en el informe	A los 65 corridos días de la firma del contrato	El consultor de la evaluación final envía ambos documentos a la unidad encargada

## CONTRATO Y TERMINOS Y CONDICIONES GENERALES DE LA CONTRATACION

		final de evaluación final (consultar la plantilla en el anexo H de los TdR)		
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La entrega de los Informes será en forma digital mediante correo electrónico. Será requisito para el pago, la aprobación de cada Informe por parte de la Supervisión, quien dispondrá de 5 días hábiles para revisión y formulación de observaciones. Transcurrido dicho plazo y de no mediar comunicación, el producto/hito se dará por aprobado.

El consultor/a contará con 5 días hábiles para realizar las modificaciones y/o correcciones que le hayan sido solicitadas.

En caso de persistir las observaciones, se repetirá el procedimiento de revisión antes señalado. Se deberá tener en consideración el plazo de finalización del contrato.

<b>IX. SUPERVISION, CONTROLES Y SEGUIMIENTO</b>
A cargo de la Analista de Programa-Área Desarrollo Sostenible del PNUD en coordinación con la Consultora Principal del Proyecto.

<b>X. DURACION, PLAZOS Y FORMA DE PAGO</b>
A partir de la fecha de firma del contrato, el plazo de la consultoría es de máximo 70 días calendario.
Es imprescindible el cumplimiento del plazo, debido a la fecha de finalización de la totalidad del Proyecto.
El monto del contrato contempla los honorarios, gastos, estadía, tributos correspondientes, que se requieran para las actividades previstas.
Los pagos se harán efectivos en Dólares de los EUA según el siguiente cronograma:

Producto a partir de la firma del compromiso	Plazo máximo de entrega	Porcentaje de pago
1. Informe inicial de la evaluación final	10 día calendario	20%
2. Informe preliminar de evaluación final	50 calendario	40%
3. Informe final de evaluación final	63 calendario	40%

Los pagos se realizarán únicamente contra aprobación de los productos y presentación de factura/Certificado de Pago emitida a nombre de: PNUD – URU18/002, a la cuenta bancaria del Contratista Individual.

De conformidad con el Reglamento Financiero del PNUD, cuando la unidad encargada y/o el consultor determinen que un producto o servicio no puede completarse satisfactoriamente debido al impacto de la COVID-19 y a las limitaciones de la evaluación final, no se pagará ese producto o servicio.

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Debido a la situación actual de la COVID-19 y sus implicaciones, se puede considerar realizar un pago parcial si el consultor dedicó tiempo a preparar el producto, pero no pudo completarlo debido a circunstancias que escapaban a su control.

### XI. ANEXOS A LOS TDR (no se encuentran en este contrato pero el PNUD y el Consultor disponen de los mismos)

- Anexo A de los TdR: Marco de lógico/de resultados del proyecto
- Anexo B de los TdR: Paquete de información del proyecto que debe revisar el equipo de la evaluación final
- Anexo C de los TdR: Contenido del informe de la evaluación final
- Anexo D de los TdR: Plantilla de matriz de criterios de evaluación
- Anexo E de los TdR: Código de Conducta de los evaluadores del UNEG
- Anexo F del TdR: Escalas de valoración de la evaluación final
- Anexo G de los TdR: Formulario de autorización de informe de la evaluación final
- Anexo H de los TdR: Historial de auditoría de la evaluación final



## Annex 2 - TE virtual mission agenda

### Monday, May 10<sup>th</sup>

1. 10:00 – 11:00: Meeting with Eng. Carla Baldo
2. 11:00 – 12:00: Meeting with Ar. Natalia García,
3. 14:00 – 15:00: Meeting with Ms. Mónica Gómez
4. 15:30 – 16:30: Meeting with Ms. Adriana Epifanio

### Tuesday, May 11<sup>th</sup>

5. 11:00 – 12:00: Meeting with Mr. Arturo Bentancor
6. 12:00 – 13:00: Meeting with Ms. Virginia Arribas and Ms. Laura Marrero
7. 14:00 – 15:00: Meeting with Ar. Myrna Campoleoni

### Wednesday, May 12<sup>th</sup>

8. 11:00 – 12:00: Meeting with Ms. Helena Garate
9. 14:00 – 15:00: Meeting with Ar. Elba Fernández, Ar. Adriana Piperno, Eng. Mariana Kasprzyk and Ar. Carolina Passeggi (Project Technical Committee's members)
10. 15:30 – 16:30: Meeting with Mr. Julio Olivera, Ms. Ana Lutz, and Mr Miguel Reyes

### Thursday, May 13<sup>th</sup>

11. 11:00 – 12:00: Meeting with Mr. Andrés Bentacor
12. 14:00 – 15:00: Meeting with Mr. Gustavo Robaina and Ar. Gonzalo Pastorino
13. 16:30 – 17:30: Meeting with Eng. Beatriz Olivet and Ar. Alicia Mimbacas

### Friday, May 14<sup>th</sup>

14. 09:00 – 10:40: Meeting with Prof. Daniel Ottado
15. 10:00 – 10:50: Meeting with Ms. Natalie Pareja
16. 11:00 – 12:00: Meeting with Prof. Pablo Sierra and Prof. Alicia Picción
17. 14:00 – 15:00: Meeting with Ar. Stella Zuccolini
18. 15:00 – 15:50: Meeting with Mr. Martín Lescano

### Tuesday, May 18<sup>th</sup>

19. 9:30 – 10:30: Meeting with Dr. Gabriela Pignataro and Eng. Andrea De Nigris,
20. 14:00 – 15:00: Meeting with Ms. Veronica Valassi, Mr. Juan Carlos Saudín, Mr. Martín Ponzetti, Richard Rodríguez (*Comité Nacional de Ciudades Inteligentes*)

Juan José Prada, *Intendencia*

### Wednesday, May 19<sup>th</sup>

21. 10:00 – 11:00: Meeting with Ar. Walter Morroni
22. 11:00 – 12:40: Meeting with Ms. Carolina Ferreira
23. 13:00 – 13:45: Meeting with Ms. Andrea Hernández
24. 14:00 – 15:00: Meeting with Ms. Ana Guerra, Mr. Guillermo Rey, Ms. Paloma Nieto, and Ms. Rosana Tierno (Project Technical Committee's members)
25. 15:00 – 16:00: Meeting with Dr. Marcelo Barreiro

### Thursday, May 20<sup>th</sup>

26. 10:00 – 11:45: Meeting with Mr. Norbertino Suárez
27. 11:00 – 12:00: Meeting with Ar. Gustavo Olveyra and Ar. Alicia Iglesias
28. 12:00 – 13:00: Meeting with Ms. Analía Mariño and Mr. Leonardo Seijo

29. 14:00 – 14:40: Meeting with Ar. Viviana Pesce

30. 15:30 – 16:20: Meeting with Ar. Agustina Porro and Eng. Milka Maneiro

**Friday, May 21<sup>th</sup>**

31. 10:15 – 11:15: Meeting with Ms. Myrna Campoleoni

32. 13:30 – 14:30: Meeting with Ms. Magdalena Prevé

**Tuesday, May 25<sup>th</sup>**

33. 14:45 – 15:30: Meeting with Ms. Claudia Ortíz

### Annex 3 - List of persons interviewed

1. Eng. Carla Baldo, Independent Technical Consultant
2. Ar. Natalia García, *Intendencia Departamental de Paysandú*
3. Ms. Mónica Gómez, Coordinator of the project NAP Coasts
4. Ar. Adriana Epifanio, *Intendencia Departamental de Rivera*
5. Mr. Arturo Bentancor, *Alcalde del Municipio de Juan Lacaze, Departamento de Colonia*
6. Ms. Virginia Arribas, Gender Project Consultant
7. Ms. Laura Marrero, *Dirección Nacional de Cambio Climático (DNCC)*
8. Ar. Myrna Campoleoni, Project Coordinator
9. Ms. Helena Garate, Project Officer – Communication and Participation Strategy
10. Ar. Elba Fernández, *Dirección Nacional de Ordenamiento Territorial (DINOT)*
11. Ar. Adriana Piperno, *Dirección Nacional de Aguas (DINAGUA)*
12. Eng. Mariana Kasprzyk, *Dirección Nacional de Cambio Climático (DNCC)*
13. Ar. Carolina Passeggi, *Dirección Nacional de Vivienda (DINAVJ)*
14. Mr. Julio Olivera, *Intendencia Departamental de Flores*
15. Ms. Ana Lutz, *Intendencia Departamental de Flores*
16. Mr. Miguel Reyes, *Departamento de Flores*
17. Mr. Andrés Bentancor, Project Consultant in charge of the Financing Strategy
18. Mr. Gustavo Robaina, Project Consultant in charge of the NAP M&E Strategy and Vulnerability Assessment
19. Ar. Gonzalo Pastorino, Project Consultant in charge of the NAP M&E Strategy and Vulnerability Assessment
20. Eng. Beatriz Olivet, *Dirección Nacional de Energía (DNE) del Ministerio de Industria, Energía y Minería (MIEM)*
21. Ar. Alicia Mimbacas, *Dirección Nacional de Energía (DNE) del Ministerio de Industria, Energía y Minería (MIEM)*
22. Prof. Daniel Ottado, *Facultad de Información y Comunicación UDELAR*
23. Ms. Natalie Pareja, National Proyecto Director, *Dirección Nacional de Cambio Climático (DNCC)*
24. Prof. Pablo Sierra, *Facultad de Arquitectura, Diseño y Urbanismo UDELAR*
25. Prof. Alicia Picción, *Facultad de Arquitectura, Diseño y Urbanismo de la Universidad UDELAR*
26. Ar. Stella Maris Zuccolini, *Secretaria de la Sociedad de Arquitectos del Uruguay (SAU)*
27. Mr. Martin Lescano, Private Sector Engagement Consultant, UNDP
28. Ms. Gabriela Pignataro, *Intendencia Departamental de Montevideo*
29. Eng. Andrea De Nigris, *Intendencia Departamental de Montevideo*

30. Ms. Veronica Valassi, *Agencia de Gobierno Electrónico y Sociedad de la Información y del Conocimiento (AGESIC)*
31. Mr. Juan Carlos Saudín, *Intendencia de Rivera*
32. Mr. Martín Ponzetti, *Intendencia de San José*
33. Mr. Richard Rodríguez, *Intendencia de Flores*
34. Mr. Juan José Prada, *Intendencia de Montevideo*
35. Mr. Gustavo Erramouspe, *Intendencia de Colonia*
36. Ar. Walter Morroni, *Sistema Nacional de Emergencias (SINAE)*
37. Ms. Carolina Ferreira, *Agencia Uruguaya de Cooperación Internacional*
38. Ms. Andrea Hernández, *Municipio B de la Intendencia de Montevideo*
39. Ms. Ana Guerra, *Dirección Nacional de Integración Social y Urbana (DINISU)*
40. Mr. Guillermo Reyes, *Agencia Nacional de Vivienda*
41. Ms. Paloma Nieto, *Dirección Nacional de Calidad y Evaluación Ambiental (DINACEA)*
42. Ms. Rosana Tierno, *Dirección Nacional de Ordenamiento Territorial*
43. Prof. Marcelo Barreiro, *Facultad de Ciencias UDELAR*
44. Mr. Norbertino Suárez, *Project National Director, Dirección Nacional de Ordenamiento Territorial (DINOT)*
45. Ar. Gustavo Olveyra , *Project Consultant*
46. Ar. Alicia Iglesias, *Project Consultant*
47. Ms. Analía Mariño, *Oficina de Planeamiento y Presupuesto (OPP)*
48. Mr. Leonardo Seijo, *Oficina de Planeamiento y Presupuesto (OPP)*
49. Ar. Viviana Pesce, *Directora Dirección Nacional de Agua (DINAGUA)*
50. Ar. Agustina Porro, *Intendencia de Canelones*
51. Eng. Milka Maneiro, *Intendencia de Canelones*
52. Ms. Magdalena Prevé, *Environment and Energy Area, UNDP*
53. Ms. Claudia Ortiz, *RTA - Climate Change Technical Specialist, UNDP*

## Annex 4 - List of documents consulted

### Documents:

- ⇒ A Human Rights-based Approach to Development Programming in UNDP – Adding the Missing Link
- ⇒ *Estrategia de comunicación de proyecto*
- ⇒ First Nationally Determined Contribution, Oriental Republic of Uruguay
- ⇒ Inception report
- ⇒ *Informes anuales de proyecto (2018, 2019, 2020)*
- ⇒ *Informes de avances 1, 2 y 3*
- ⇒ *Informe de consultoría en genero*
- ⇒ National Climate Change Response Plan of 2010
- ⇒ National Policy on Climate Change of 2017
- ⇒ ProDoc
- ⇒ Project's deliverables:
  - *Adaptación de viviendas al cambio climático y la variabilidad - Estudio piloto en la ciudad de Paysandú*
  - *Brechas de información y necesidades de capacitación para la adaptación al cambio climático en las ciudades de Uruguay*
  - *Cambia el clima, cambiemos nosotros/as - Breve guía para entender el cambio climático*
  - *Criterios para evaluar programas urbanos de inversión pública en adaptación (2020)*
  - *Experiencias de adaptación al cambio climático en las ciudades de Uruguay*
  - *Diseño interinstitucional para la implementación del Plan Nacional de Adaptacion (NAP) en ciudades e infraestructuras*
  - *Informe incentivos y costos para fomentar la inversión privada y alentar alianzas público-privadas en planificación y presupuestos*
  - *Medidas de adaptación - Versión preliminar para revisión (21 mayo de 2021)*
- ⇒ Readiness Progress Reports
  - Jan. 2019
  - Jul. 2019
  - December 2019
  - June 2020
  - Jan. 2021
- ⇒ Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development
- ⇒ UNDAF/Country Programme Document (2021-25)



⇒ UNDP/Strategic Plan 2018 - 2021

Websites:

- ⇒ <https://www.gub.uy/ministerio-ambiente>
- ⇒ <https://www.gub.uy/ministerio-vivienda-ordenamiento-territorial>
- ⇒ <https://sdgs.un.org/goals>
- ⇒ <https://www.uy.undp.org>

## Annex 5 - TE Rating scale

Ratings for M&E, IA & EA Execution and Assessment of Outcomes (Relevance, Effectiveness, Efficiency and Overall Project Outcome Rating)	Rating for Sustainability
<b>6= Highly Satisfactory (HS):</b> exceeds expectations and/or no shortcomings <b>5= Satisfactory (S):</b> meets expectations and/or no or minor shortcomings <b>4= Moderately Satisfactory (MS):</b> more or less meets expectations and/or some shortcomings <b>3= Moderately Unsatisfactory (MU):</b> somewhat below expectations and/or significant shortcomings <b>2= Unsatisfactory (U):</b> substantially below expectations and/o major shortcomings <b>1= Highly Unsatisfactory (HU):</b> severe shortcomings <b>Unable to Assess (U/A):</b> available information does not allow an assessment	<b>4= Likely (L):</b> negligible risks to sustainability <b>3= Moderately Likely (ML):</b> moderate risks to sustainability <b>2= Moderately Unlikely (MU):</b> significant risks to sustainability <b>1= Unlikely (U):</b> severe risks to sustainability <b>Unable to Assess (U/A):</b> Unable to assess the expected incidence and magnitude of risks to sustainability

The ratings will be derived from the findings described in the relevant section of the final TE report. , Instead, The Overall Project Outcome rating will be calculated. Such calculation will be based on the ratings for relevance, effectiveness and efficiency, of which relevance and effectiveness are critical.

The rating on relevance will determine whether the overall outcome rating will be in the unsatisfactory range (MU to HU = unsatisfactory range). If the relevance rating is in the unsatisfactory range then the overall outcome will be in the unsatisfactory range as well. However, where the relevance rating is in the satisfactory range (HS to MS), the overall outcome rating could, depending on its effectiveness and efficiency rating, be either in the satisfactory range or in the unsatisfactory range. The overall outcome achievement rating cannot be higher than the effectiveness rating. The overall outcome rating cannot be higher than the average score of effectiveness and efficiency criteria.

In cases where a project's result framework has been modified and approved, and if the modifications in the project impact, outcomes and outputs have not scaled down their overall scope, the TE team should assess outcome achievements based on the revised results framework. In instances where the scope of the project objectives and outcomes has been scaled down, the magnitude of and necessity for downscaling is taken into account and despite achievement of results as per the revised results framework, where appropriate, a lower outcome effectiveness rating may be given.



## Annex 6 - TE Rating scale

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest, which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

### Evaluators/Consultants:

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

Evaluation Consultant Agreement Form

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

Name of the International Evaluator: Giacomo Morelli

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

Signed at Bern, Switzerland on 20/04/2021

