FINAL EVALUATION OF THE

ADVANCE THE NATIONAL ADAPTATION PLAN (NAP) PROCESS FOR MEDIUM-TERM INVESTMENT PLANNING IN CLIMATE SENSITIVE SECTORS IN BOSNIA AND HERZEGOVINA PROJECT

Time-frame of the evaluation: December 2021 – January 2022

Date of the report: 30 January 2022

Country of the evaluation intervention: Bosnia and Herzegovina

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Name of the organization commissioning the evaluation: UNDP

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Disclaimer: This report is product of an independent external evaluation. The analysis and recommendations contained in this document only represent the analysis and views of the author and do not necessarily reflect the analysis, views and opinions of the United Nations Development Programme, the Green Climate Fund, country-level stakeholders, nor any other project stakeholders.

PROJECT INFORMATION TABLE

Project Information	
Project title	Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina
Atlas ID	001000066
Corporate outcome and output	UNDP Strategic Plan 2018-2021, Outcome 2; Output 2.3.1
Country	Bosnia and Herzegovina
Date Project Document signed	8th August, 2018
Project End date	4th April, 2022
Project budget	2,506,812 USD
Project expenditure at the time of evaluation	2,129,444 USD
Funding source	Green Climate Fund
Implementing party	UNDP

TABLE OF CONTENTS

Table of Contents

Table of Figures

LIST OF ACRONYMS AND ABBREVIATIONS

BIH	Bosnia and Herzegovina
CC	Climate Change
EC	European Commission
EU	European Union
GCF	Green Climate Fund
GEF	Global Environmental Facility
GHG	Greenhouse gases
LEDS	Low greenhouse-gas Emission Development Strategies
MMR/MR	Monitoring Mechanism Regulation
MRV	Monitoring, Reporting, and Verification
NAP	National Adaptation Plan
NAS	National Adaptation Strategy
NDCs	Nationally Determined Contributions
ODS	Ozone-depleting substances
ProDoc	Project Document
SDGs	Sustainable Development Goals
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

EXECUTIVE SUMMARY

Extreme climate events and impacts are more and more frequent and marked in Bosnia and Herzegovina (BIH). At the time of project design, planning documents stated that in the previous 16 years, drought was experienced in seven of those years (2000, 2003, 2007, 2008, 2011, 2012, 2013). In addition, years with floods are very common (2004, 2006, 2009, 2010, 2014) with extreme climate-related events especially pronounced lately. The severity of these events are exemplified by major floods recorded in 2009, 2010 and 2014; as well as severe droughts with waves of high temperatures in 2011, 2012 and 2013. While in 2012 there was an extreme cold wave, in mid-2012 a series of damaging windstorms were faced. In the years of project implementation, furthermore, BIH's society has also suffered extreme weather events of the type. Evidently these issues have large social and economic impacts. Several sectors were identified as the most vulnerable to climate change during project planning stages, such as agriculture and water (this vulnerability was further recognised during implementation). Yet, vulnerability does not stop in those two sectors. Urban areas, housing, the energy sector –to name a few— as well as health factors are also areas that are being negatively impacted by climate change.

BIH, as a sovereign state with a decentralized political and administrative structure, comprises two entities: Republika Srpska (RS) and the Federation of BIH as well as the Brčko District (a separate administrative unit). Decision making involves the Council of Ministers, two entities (Federation of BIH and Republika Srpska) and the Brčko District. **The political and institutional organization of the country provides a background against the complexity within which a project such as the one being evaluated seeks to operate in order to generate and aid in the implementation of policy instruments for adaptation to climate change.**

The BIH UNFCCC and GCF focal point, Ministry of Spatial Planning, Civil Engineering and Ecology officially launched the NAP process in 2016. The NAP process began with a national consultation that engaged sector ministries and local government units via associations of cities and municipalities in both entities (Republika Srpska and Federation of BIH). The country is party to the United Nations Framework Convention on Climate Change (UNFCCC). Within this context, BIH has assumed important steps towards understanding and addressing climate change issues. It is increasingly recognized not only by governments and the scientific community, but also by the population that climate change is a strategically important issue, for well-being but also for economic and social development.

The Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina project is a national – level intervention that intends to support the governments of BIH to advance the climate national adaptation planning process. It works to enable the governments to integrate climate change related risks, strategies and opportunities into ongoing development planning and budgeting processes. It advances adaptation planning in BIH with a focus on most vulnerable sectors such as water management, agriculture, forestry, human health, biodiversity etc., upgrading the knowledge base for adaptation, prioritizing adaptation interventions for the medium term, building institutional capacities for integrating climate change adaptation and demonstrating innovative ways of financing adaptation at the sub-national/local government level.

Overall, the Project identified main barriers to change in the area of climate change adaptation which were to be addressed in the context of the intervention, such as: (a) limited institutional capacities and weak vertical and horizontal coordination for adaptation planning and implementation; (b) complex administrative structure and top-down approach to deal with the issues of adaptation; (d) limited individual and institutional capacities to face climate change adaptation issues; (e) limitations in access to financial resources to underwrite implementation of adaptation processes. The Project, consequently, has worked to overcome these barriers by improving national coordination mechanisms; enhancing in-country knowledge and technical capacity; and, establishing a financing framework for climate change adaptation action. The Project has three expected outcomes. These are as follows:

- *Outcome 1*. Effective national adaptation coordination system established to drive the NAP process

- *Outcome 2*. Capacity for climate vulnerability assessments, development of socio-economic scenarios strengthened, and adaptation options prioritized for 2 key sectors
- *Outcome 3*. Innovative financing strategy for adaptation investments developed and tested in 4-5 selected municipalities.

The funding source of this project is the Green Climate Fund while the implementing party is UNDP. The total approved GCF grant is 2,506,812 USD, while the budget administered by UNDP is 2,278,920 USD.

The Project objectives were relevant to the needs and priorities of the country. This is factual at all governance levels, from state to local. Relevance is also illustrated by the Project's alignment with national policies as expressed in different national and international instruments and documents, taking into account national needs and priorities (keeping in mind political, social, legal and institutional contexts of the country). Country level relevance, additionally --and a crucial factor-- is very much linked to the indelible impact that climate change has had in BIH, on the population per se as well as on the country's socio – economic development. The Project is coherent vis-a-vis a number of other factors: previous interventions in the country, corporate mandates, regional and global policies, as well as ongoing projects that do deal climate change, both in adaptation as well as in mitigation.

The Project Document was signed in August 2018 and the Project will finalise in April 2022. The implementation processes, therefore, is concluding at the same time as this final evaluation takes place. The NAP Project has been effective in the sense that its intended results have been achieved, when comparing against its result framework indicators as well as by engendering unexpected positive outcomes. **Some of the Project accomplishments -at the product level - stand out as the most salient and more constructive ones, particularly regarding the technical assistance provided, such as the proposed NAP and satellite documents and the Climate Change Adaptation Finance Strategy, which in tandem can --once approved-- forge ahead in adaptation planning in the country.** Furthermore, a number of other processes and products have been implemented or documents obtained, such as studies to determine sectoral vulnerability, data systems on climate change, products dealing with financing and adaptation planning at the local level. The effectiveness of these processes has either been demonstrated already or is expected to be so in the near future. For instance by the adoption of planning instruments, enhanced potential financial architecture for adaptation, capacity built, and in general the effect sought of increasing planning through filling gaps in knowledge and capacity is evident. A number of factors contributed to effectiveness such as: PMU support, technical assistance linked to capacity building, fostering an integrated planning and financial approach, UNDP as an external actor to national political issues, inclusion of local governments, EU acquis as a driver, as well as an overall ownership by the different institutions and actors involved in the Project.

The Project has been efficiently implemented. Resources of all types have been allocated strategically and economically to achieve results. Activities were delivered scheduled with the prearranged financial resources. The project management structure as outlined has been efficient in obtaining results (at the output as well as at the outcome levels). Issues in fund flows from the donor to the relevant partners occurred, and although they were positively steered by the Country Office and project management, had an impact upon efficiency.

Regarding impact, in the NAP Project in BIH it is clear that there have been contributions to potentially generating a more resilient governance structure to deal with climate change adaptation atseveral different institutional levels. Albeit the most salient policy frameworks are still to be adopted, if they are they can provide a potentially strong context for adaptation that includes information systems, monitoring, as well as financial planning. The changes, i.e. impacts, that the Project has brought about include not only drafting of policy but also enhanced individual and institutional capacity. All of the above are linked also to the possible catalytic effect (planned and unplanned) that the Project has, such as influence upon other potential policies beyond the NAP that can engender better adaptation planning (such as local level planning instruments, access to climate finance, as well as information sharing beyond the country).

From planning onward the Project has embedded outputs and outcomes to potentially engender sustainability. Through the linking of capacity building, filling knowledge gaps to inform decision making, and

through the development of tools (such as National Adaptation Plan, Climate Change Adaptation Finance Strategy, etc.) the probable sustainability factors of the Project are enhanced. At the time of this evaluation the planning tools developed that need official approval are in that process which, as or if takes place, will greatly cement sustainability of the NAP Project's achievements.

Notwithstanding the setbacks that the Project faced, it efficiently developed a number of outputs and outcomes, all of the above with a high chance of engendering impacts, positive effects, and have catalytic influence (both at the local, sub national, national and global scale). It has been effective in prompting further ownership governmental institutions participation. What remains is for the country to uptake and adopt the outputs and prompt climate change adaptation planning mechanisms (general, local, sectoral) that have financial backing for their implementation. This is the challenge for future action as well as the opportunities for further joint work between the different stakeholders in BIH and the international community.

INTRODUCTION AND OVERVIEW: DESCRIPTION OF THE INTERVENTION

BIH has a total surface area of 51,209.2 km², and is located in the Balkan Peninsula. It is composed of 51,197 km² of land and 12.2 km² of sea and is set within the Adriatic and the Black Sea basin. Of the total land area, five percent are lowlands, 24 percent are hills, 42 percent mountains, while 29 percent are karst[1] regions.

The country has several climate types: temperate continental climate (northern and central parts), sub-mountainous and mountainous, Adriatic and modified Adriatic climate. Temperature increases on annual level analysis and precipitation changes are evident in the entire area, resulting in extreme weather conditions.

Extreme climate events and impacts are more and more frequent and marked in BIH. At the time of project design, planning documents stated that in the previous 16 years, drought was experienced in seven of those years (2000, 2003, 2007, 2008, 2011, 2012, 2013). In addition, years with floods are very common (2004, 2006, 2009, 2010, 2014) with extreme climate-related events especially pronounced lately. The severity of these events are exemplified by major floods recorded in 2009, 2010 and 2014; as well as severe droughts with waves of high temperatures in 2011, 2012 and 2013. While in 2012 there was an extreme cold wave, in mid-2012 a series of damaging windstorms were faced. In the years of project implementation, furthermore, BIH's society has also suffered extreme weather events of the type.

Evidently these issues have large social and economic impacts. Several sectors were identified as the most vulnerable to climate change during project planning stages, such as agriculture and water (this vulnerability was further recognised during implementation). Yet, vulnerability does not stop in those two sectors. Urban areas, housing, the energy sector –to name a few— as well as health factors are also areas that are being negatively impacted by climate change. Some processes have been carried out prior to the NAP Project in order to quantify damages caused by climate change induced events. **They have found, for instance, that the impact of the floods experienced in BIH in 2014 were quantified to be 15 percent of the country's Gross Domestic Product for that year (i.e. 2.04 billion Euro). In each of the last four years 2017, 2018, 2019 and 2020, flooding occurred in at least two of the seven major river basins. Socio-economic and climate risk modelling demonstrate that by mid-century, due to climate change, 13% more people would be affected by floods leading to 12.5% higher losses of household assets compared to baseline scenario.**

BIH, as a sovereign state with a decentralized political and administrative structure, comprises two entities: Republika Srpska (RS) and the Federation of BIH as well as the Brčko District (a separate administrative unit). Decision making involves the Council of Ministers, two entities (Federation of BIH and Republika Srpska) and the Brčko District. In turn, the Federation, is sub-divided into 10 Cantons each with their own government, while Republika Srpska has a centralized structure. That is, the two main institutional entities also differ in their institutional make – up since while Federation of BIH is sub-divided into the 10 mentioned Cantons, Republika Srpska has a centralized structure. The entities have a very high degree of autonomy, with their president, parliament, government, and courts. The entities have jurisdiction in the areas of environment, water management, agriculture, forestry, energy, civil administration, health, education, police department, physical planning. Authority at the state level covers foreign policy, defence, border monitoring, foreign trade, fiscal and monetary politics.

The political and institutional organization of the country provides a background against the complexity within which a project such as the one being evaluated seeks to operate in order to generate and aid in the implementation of policy instruments for adaptation to climate change. BIH has a rather complex constitutional structure and political systems. The country's political system includes in addition to the aspects indicated above 13 constitutions, 14 legal systems and 141 ministries. At the national level this makes- up for intricate legislative processes. Moreover, in addition to the political organization at the mentioned institutional levels, there are also cities, urban areas and municipalities which are key organizational actors in many of the aspects that make up climate change issues (not only adaptation but also mitigation).

The BIH UNFCCC and GCF focal point, Ministry of Spatial Planning, Civil Engineering and Ecology officially

[1] Landscape underlain by limestone which has been eroded by dissolution, producing ridges, towers, fissures, sinkholes and other characteristic landforms.

launched the NAP process in 2016. The NAP process began with a national consultation that engaged sector ministries and local government units via associations of cities and municipalities in both entities (Republika Srpska and Federation of BIH). The country is party to the United Nations Framework Convention on Climate Change (UNFCCC). Within this context, BIH has assumed important steps towards understanding and addressing climate change issues. It is increasingly recognized not only by governments and the scientific community, but also by the population that climate change is a strategically important issue, for well-being but also for economic and social development. The country has placed climate change as one of the most significant development challenges it faces. The importance of adaptation was clearly reflected in its Second National Communications and Climate Change Adaptation and Low Emission Development Strategy (CCA LEDs). This strategy (adopted by the BIH Council of Ministers in 2013) has proven to be of significant importance to the NAP process. It is utilized to chart available observed and projected climate change impacts on important country sectors including agriculture, water, hydropower, human health, forestry, biodiversity/ sensitive ecosystems and tourism. The CCA LEDS strategy is based on four specific outcomes covering climate change risks, vulnerabilities and opportunities supporting evidence-based policy development, effective institutional and regulatory framework, mainstreaming CCA approaches into decision making, and effective resourcing with timely and effective implementation. However, its implementation was slowed mainly due to lack of knowledge and institutional capacity to plan, attract finances and undertake adaptation measures which –as will be seen in the development of this report—is directly linked to what the NAP Project aimed to address. In 2015, BIH submitted its Intended Nationally Determined Contributions (INDC), as part of the negotiations that lead to the Paris Agreement, which it signed in April 2016. In 2017, BIH submitted its Third National Communication (TNC) to the Conference of the Parties to the UNFCCC. The TNC of 2017 provided further updates and strengthened information regarding national circumstances, vulnerabilities to climate change, steps taken to adapt to climate change and information on public awareness, education, training, systematic research and observation and technology transfer. The above key social, political, economic, demographic, and institutional factors have a direct bearing on the object of the Project being evaluated.

The Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina project is a national – level intervention that intends to support the governments of BIH to advance the climate national adaptation planning process. It works to enable the governments to integrate climate change related risks, strategies and opportunities into ongoing development planning and budgeting processes. It advances adaptation planning in BIH with a focus on most vulnerable sectors such as water management, agriculture, forestry, human health, biodiversity etc., upgrading the knowledge base for adaptation, prioritizing adaptation interventions for the medium term, building institutional capacities for integrating climate change adaptation and demonstrating innovative ways of financing adaptation at the sub-national/local government level. **Finally, the intervention aims to support adaptation planning that will enable implementation of adaptation actions to reduce negative climate effects.**

Within BIH, there has been an explicit understanding that climate change is a threat to the country's development and that there is an urgent need to adapt in order to generate resiliency while its minimising its negative consequences. Due to this, there is a general motivation to support and implement the NAP process . The problem that this readiness and preparatory support project addresses is that, despite the government motivation and extreme climate events already observed in the country, climate change is insufficiently integrated into development planning processes in BIH.

The Project is further aligned with and contributes to UNDP's corporate goals and priorities. Specifically, since it aims to contribute to the achievement of Sustainable Development Goal (s): 13 [*Take urgent action to combat climate change and its impacts*] and also contribute to the following country outcome included in the UNDAF/Country Programme Document: *Outcome 5: By 2019, legal and strategic frameworks enhanced and operationalized to ensure sustainable management of natural, cultural and energy resources.* It will also be linked to the following output of the UNDP Strategic Plan: *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.*

Overall, the Project identified main barriers to change in the area of climate change adaptation which

were to be addressed in the context of the intervention. The main identified barriers (as stated in the design and planning documents of the Project) to change are:

a) **Limited institutional capacities** and weak vertical and horizontal coordination for adaptation planning and implementation caused by complex administrative structure and top-down approach, limited stakeholders' participation in BIH strategic planning for adaptation, inadequate level of technical knowledge on climate change adaptation of staff in sectoral ministries, limited training on climate change issues and low capacity to monitor, forecast, archive, analyse, communicate, and use climate risks and impacts for sectors.

b) **Limited climate Information** to support integration of climate change into planning and budgeting due to limited existence of scientific data and information on climate impacts and vulnerability assessments, limited knowledge of current climate variability, and a lack of systematic information on environmental protection.

c) **Alternative sources of finance**, including innovative funds are not optimized as neither climate change adaptation, nor disaster risk reduction activities are included in budgeting on any level (municipal, cantonal, entity) and effective finance plan for securing adequate funds from a range of sources for adaptation does not exist.

The Project, consequently, has worked to overcome these barriers by improving national coordination mechanisms; enhancing in-country knowledge and technical capacity; and, establishing a financing framework for climate change adaptation action.

The Project has three expected outcomes. These are as follows:

- Outcome 1. Effective national adaptation coordination system established to drive the NAP process
- Outcome 2. Capacity for climate vulnerability assessments, development of socio-economic scenarios strengthened, and adaptation options prioritized for 2 key sectors
- Outcome 3. Innovative financing strategy for adaptation investments developed and tested in 4-5 selected municipalities.

Following is a chart with specific information on expected outcomes, sub – outcomes, and key deliverable products.

FIGURE 1: EXPECTED OUTCOMES, SUB -OUTCOMES AND KEY OUTPUTS

OUTCOMES	ACTIVITIES: Key Outputs
1. Effective national adaptation coordination system established to drive the NAP process	
1.1 National institutional arrangements to coordinate adaptation processes are in place	1.1.1 Establish an inter-agency working group to enable an active and participatory approach to advance the NAP
	1.1.2 Conduct gaps assessments focused on existing processes, technical capacity, frameworks and coordination to improve coordination across sectors and levels of government
	1.1.3 Analyse existing regulatory framework, policies and plans and assess entry points to identify opportunities to integrate climate risk considerations
	1.1.4 Develop Standard Operating Procedures for coordination of adaptation within sectors and between agencies and among working groups at the state, entity, cantonal and municipal levels
	1.1.5 Constitute a multi-disciplinary drafting team (a subset of the working group in 1.1.1), compile available technical studies and assessments and draft the NAP for BIH
1.2 Mechanisms for regularly reviewing and updating NAP are in place	1.2.1 Development of technical guidelines for M&E activities
	1.2.2 Identify appropriate gender-sensitive indicators for monitoring climate change impacts and a system to collect data
	1.2.3 Undertake capacity building on M&E

	1.2.4 Establish and maintain an effective M&E system for adaptation and inter-alia the NAP process, adaptation investments and assess their effectiveness and relevance
	1.2.5 Undertake peer review of NAP and make it publicly available for information and comments from general public
1.3 Communication and outreach for NAP process enhanced	1.3.1 Develop and implement communication and outreach strategy for medium to long-term adaptation planning
	1.3.2 Increase the coverage and visibility of project activities for both domestic and international audiences
	1.3.3 Document and communicate lessons learned and best practice in order to encourage replication of successful approaches
	1.3.4 Finalise the NAP for official endorsement and place online and submit internationally to the UNFCCC NAP central
2. Capacity for climate vulnerability assessments, development of socio-economic scenarios strengthened and adaptation options prioritized for 2 key sectors	
2.1 System to gather, organize and update relevant data and information on adaptation established or strengthened	2.1.1 Create climate change data management system accessible to all stakeholders
	2.1.2 Capacity building of relevant sectors and levels of government to report on and utilize information for decision making on adaptation interventions
2.2 Capacity gaps and needs for design and implementation of adaptation strengthened	2.2.1 Informed by 1.1.2, formulate a capacity development plan for upgrading skills and knowledge of government staff on adaptation.
	2.2.2 Sensitize and train policy makers and stakeholders
2.3 Available information on climate change impacts, vulnerability and adaptation investments increased or shared in at least 2 priority sectors	2.3.1 Undertake a review of existing vulnerability assessments (including the information from National Communications) for key priority sectors
	2.3.2 Quantitatively assess socio-economic and environmental change scenarios for the medium to long-term, for agriculture and water sectors in BIH
	2.3.3 Identify and prioritize options for climate change adaptation in 2 priority sectors based on findings of 2.3.1-2
3. Innovative financing strategy for adaptation investments developed and tested in 4-5 selected municipalities	
3.1 Studies to inform future investments in adaptation across sectors conducted and financing strategy developed	3.1.1 Analyse current budgetary and extra-budgetary expenses, sources of funding and other financing mechanisms used to address climate change impacts
	3.1.2 Identify financial resources required to meet adaptation strategies and develop a financing strategy
	3.1.3 Develop two GCF concepts along with pre-feasibility studies concepts for 2 of the priority sectors
3.2 Policy options for scaling up financing adaptation analysed and recommended	3.2.1 Assess existing market barriers for up to 2 municipalities and identify effective means of de-risking market based adaptation financing transactions.
	3.2.2 Assess feasibility of complementary sources of finance, including private sector capital
	3.2.3 Define and showcase new financing approach for accessing adaptation finance by municipalities
	3.2.4 Develop methodology and tools for multi-year capital investment risk informed programming and prioritization for financial planning at municipal level.
3.3 Practical methodology for CCA planning and access to finance introduced in selected municipalities	3.3.1 Test new financing approach (linked to activity 3.2) and prepare investment programming, prioritization and financial planning tools to support municipal access to domestic market financing to leverage additional sources of funding for effective adaptation implementation
	3.3.2 Carry out municipal CCA finance start-up and orientation workshop
	3.3.3 Assist selected municipalities and local professionals through expert support and practical hands-on training on: i) formulation of multi-year climate resilient investment plan, ii) prioritization of investment projects, iii) preparation of financial plans and creditworthiness assessments, iv) preparation of long-term financing scenarios and formulation of proposals, and v) linking municipalities with financing institutions and supporting market transactions for co-

	financing of prioritized investment programs and projects.

The funding source of this project is the Green Climate Fund while the implementing party is UNDP. The Project's effective start date was 5th April 2018, but the Project Document was signed in August 2018 when official implementation started. Originally the planned end date of the Project was 4th April 2021. However, due to the COVID-19 pandemic, GCF granted a six months extension to all their projects, thus extending implementation until 4th October 2021. Additionally, BIH requested another six months extension request which was granted to end the Project in 4th April 2022. The total approved GCF grant is 2,506,812 USD, while the budget administered by UNDP is 2,278,920 USD.

EVALUATION OBJECTIVES, SCOPE, APPROACH, METHODS, AND DATA ANALYSIS

The Project has completed all of its major project outputs and activities. Therefore, in keeping with the outlined monitoring and evaluation plan, the final evaluation process unfolded. The process, which gives rise to this report, has been external and independent. The purpose of this evaluation is to provide an impartial review of the advance of the National Adaptation Plan process for medium-term investment planning in climate sensitive sectors in BIH. The main criteria for this assessment are relevance, effectiveness, efficiency, impact, sustainability, overall performance, implementation and results. The intended users for the information, findings, lessons learned and recommendations generated by the evaluation will be the Project Board, UNDP, Green Climate Fund and other relevant stakeholders to strengthen and inform the remaining Project implementation and inform future programming. The objective of this process was to examine the overall performance of the Project, if its inputs and activities led to expected outputs and outcomes, and if and how the delivered outputs contributed to improved integration of climate change adaptation in the existing national strategies and performance of institutional beneficiaries, enabling change in BIH. Achievements' analysis will be based on a comparison between actual attainments vis-à-vis expected achievements as expressed in the Project Document and its results framework.

This final evaluation follows a set of guidance and manuals that set standard practice for this sort of processes such as: *UNDP Evaluation Guidelines* (by the Independent Evaluation Office of UNDP, Revised Edition of June 2021); and *UNDP Evaluation Guidelines 2021 Updates And Revisions, UNEG 'Ethical Guidelines for Evaluation',* and the *Green Climate Fund's Evaluation Policy.* In line with GCF policy, this final evaluation considers the following aspects:

I. Relevance, effectiveness, efficiency, impact and sustainability of the Project;
II. Coherence in climate finance delivery with other multilateral entities;
III. Gender equality;
IV. Country ownership of the Project;
V. Innovativeness in result areas – the extent to which intervention may lead to paradigm shift towards low-emission and climate-resilient development pathways;
VI. Replication and scalability – the extent to which the Project activities can be scaled up;
VII. Unexpected results, both positive and negative.

Furthermore, guidance established in 2020 in order to respond to evaluations and assessments within the COVID-19 pandemic was also be followed (such as: *Evaluation during Crisis: COVID-19, Evaluation Planning and Implementation during COVID-19*).

Evaluation Scope: The temporal scope of the evaluation runs from Project start – up (5th April, 2018) to the date of this report as well as likelihood for full achievement of expected results by the end of the Project on 4th April, 2022.

Evaluation Approach: The approach for the evaluation was participatory and consultative ensuring close engagement with key stakeholders and partners.[2]

Evaluation Methods: The review used a variety of data sources, primary, secondary, qualitative, quantitative, etc., extracted from document analysis and desk review and online interviews. The approach entailed the collection and analysis of both qualitative and quantitative data in order to validate and triangulate information. Also, through this combination of methods, feedback between the various tools and validation between different levels and types of data collection was sought to triangulate the information, and thus ensuring

[2] In annexes a list of stakeholders the review engaged with is found.

the validity of the data that give rise to the evaluation process and to this report. Regarding specific methodologies to gather assessment information, the following tools and methods were used: Document Analysis and Key Informant Interviews. A first tool developed for this review process was an evaluation matrix (see Annex 2: Evaluation Mat) used to map data for an assessment and aid in triangulating the available evidence. Within this matrix the key evaluation questions were identified as follows in the table below, divided by different criteria.

FIGURE 2: MAIN EVALUATION QUESTIONS

Criteria: Relevance and coherence

1. How relevant is the project with regard to national policies, and corporate mandates?
2. What level of coherence is there vis-à-vis other interventions at the national level in the same field?

Criterion: Effectiveness

3. To what extent have the expected outcomes and objectives of the project been achieved?

Criterion: Efficiency

4. Was the project implemented efficiently, in-line with international and national norms and standards?

Criterion: Impact

5. What have been the actual effects and impacts that the project has had in BiH?

Criterion: Sustainability

6. To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?

Criterion: Catalytic role of the Project

7. What has been the catalytic role of the Project?

Criterion: Future-looking concept and recommendations

8. What can be recommended for follow up and/or future programming?

Within each criteria, a number of sub questions (mainly based on the evaluation queries presented in the Terms of Reference) were inserted in the matrix. How these were to be answered was charted via the methods selected to map the data and as a reference in planning and conducting the assessment. It also served as a tool for summarizing and visually presenting the evaluation design and methodology at onset. The matrix identified the key evaluation questions and sub questions, ordering them by criteria, and presented indications as well on verification and methods to be used to assess each of the questions/sub questions.[3]

The review used a variety of data sources, primary, secondary, qualitative, quantitative, etc., extracted from document analysis through desk review and through online interviews. Due to COVID-19 restrictions upon travel, these methods were implemented online. The approach entailed the collection and analysis of both qualitative and quantitative data in order to validate and triangulate information. Also, through this combination of methods, feedback between the various tools and validation between different levels and types of data collection was sought to triangulate the information, and thus ensuring the validity of the data that give rise to the evaluation process and to this report, as planned.

[3] These methods are found in the evaluation matrix in annexes (see Annex 2: Evaluation Mat).

The typology of stakeholders was identified at onset and inception of this assessment process. The rationale for selecting the stakeholders was their belonging to institutions that were instrumental to the design and / or implementation of the Project, and therefore their capacity to act as key informants and give pondered inputs was assumed. The evaluation engaged with 25 stakeholders from a typology of relevant institutions. This was through individual or group interviews, as well as through dialogues and informative meetings. They belonged to different sorts of institutions (technical, UNDP, governments). The latter were different tiers of government. The interviews were steered by a set of guiding questions set at this evaluation's planning stage. These were guiding questions based on the main assessment criteria, and that could act as inductions for counter questions as applicable. They were directed towards the role that each stakeholder/institution played within the intervention, catering the questions to stakeholders and institutional characteristics in order to be pertinent vis-à-vis each type of actor interviewed. In annexes (see Annex 3: List of stakeholders with whom the evaluation engaged) the names and affiliations of the stakeholders that participated in the evaluation can be found.

Data Analysis: The use of both qualitative and quantitative data supported the validation and triangulation of information. Quantitative analysis was carried mainly by comparing achievements vis-à- vis expected benchmarks to tally project progress in implementation. Qualitative analysis was mainly applied to the information harnessed by using thematic assessment of interviewees' responses.

Limitations. Evaluations normally face limitations, such as those regarding time, resources, data availability. Yet the present assessment was faced with further limitations by having it take place in the midst of the COVID-19 pandemic. The main functional impact was the lack of in-country missions. For carrying out the review, therefore, *UNEG's Guidance on Evaluation Planning and Operation During COVID- 19* as well as UNDP guidance regarding COVID-19 and evaluations were followed for the design and implementation of the assessment process. The data and information were gathered through a desktop review (which is normally done at a distance in these processes even before the pandemic), yet the personal interviews were done using remote mechanisms (through video conferences) as necessary. Notwithstanding the emergency, the review followed a collaborative and participatory approach while using remote engagement with the all of the key stakeholders. Therefore, it is understood that this evaluation was not overly affected by the situation and that the methodologies used were pertinent and appropriate.

This report is structured following UNDP guidance as to content based on findings. For each criterion there is one box after the pertinent section with overall summary findings for each. The report ends with a series of conclusions, lessons learnt and forward looking recommendations.

FINDINGS

DESIGN

Project design and planning follows the need to improve adaptation to increasingly expressed negative climate impacts, which was previously identified in the Strategy for Adaptation and Low-Emission Development, which was adopted in 2013. The initial impression was based on the fact that the existing capacities in the country were not sufficient for the implementation of the Strategy, which resulted in very little progress and concrete actions when it comes to adapting to climate change. The design process was a concerted integrated effort with consultative and participatory discussions between and among different stakeholders, in particular between national / state stakeholders in BIH and UNDP, focusing those institutions in charge for the climate most vulnerable sectors: Ministry of Foreign Trade and Economic Relations BiH, Ministry of Spatial Planning, Civil Engineering and Ecology RS and GCF focal point, Ministry of agriculture, water management and forestry of FBiH, Ministry of agriculture, forestry and water management of RS, Ministry of Environment and Tourism FBiH, water agencies and hydrometeorological institutes, environmental funds and municipalities.

Different stakeholders at different levels of governments indicate that this has been one of the best practices of this project, which has --therefore—aided in identifying barriers and country needs in order to enable climate adaptation processes and actions of utmost importance for BIH.[4]

However, in some ways, the design process was impaired by several different matters. Several of these issues have had implementation sequels. In particular, since at the time of design the GCF was beginning to support these sorts of interventions within the GCF Readiness Programme and because operating procedures and agreements with UNDP as one of the donors' delivery partners were changing. Due to this, several matters were fluctuating as part of these adjustments (such as start-up dates, funding scope, etc) which affect the BIH project, at design and –as will be seen in further along sections in this report—within implementation.

Design identifies a number of barriers that impede or hinder equitable adaptation to climate change adverse effects. Although there is a growing understanding that adaptation needs to take place in order to avoid or reduce negative impact of climate variance, and engender resilience, there are a number of issues and barriers that obstruct this process. In the first place, and an all-encompassing matter that is united with the overall objective of this project, is the issue that the country lacks overarching policy instruments integral to development processes to deal with climate change. Specific barriers were also identified at planning stages[5], the main ones being

- Limited institutional capacities and weak vertical and horizontal coordination for adaptation planning and implementation;
- Complex administrative structure and top-down approach to deal with the issues of adaptation;

[4] Although several selected pilot local stakeholders indicated that while they or their institutions were not part of the consultation processes, design was based on consultations with several local stakeholders including associations of cities and municipalities of RS and BIH representing all local communities in BIH (143). Moreover, consultative process of design of the project included also both cantonal and municipal level governments in order to make horizontal and vertical linkages of activities. The NAP design process (for local level) included, therefore, consultations with Associations of Cities and Municipalities; with some municipalities and with cantons. It was based on BIH vulnerability assessments of risk prone municipalities, and other CC criteria. On the basis of all above, these 4 municipalities were selected to be pilot. However, the perception that some key stakeholders were not consulted is validated. This has not been flagged as a major issue since those same stakeholders also do indicate that the relevance and pertinence of the Project is evident even without particularly consulting them. This should be an example, however, that no matter how much a consultation occurs in a project's planning stages, in contexts with high rotation and/or institutional instability, there could be endeavours to induct or inform new incoming stakeholders in order to have an even knowledge playing field for a project and to generate ownership, even for those institutions or individuals who might not have participated in consultation processes.

[5] Source: Project Document.

- Limited individual and institutional capacities to face climate change adaptation issues (such as limitations in technical knowledge information as well as in scientific data/indicators);
- Limitations in access to financial resources (national budget as well as international or regional cooperation) to underwrite implementation of adaptation processes.

The overall strategy, therefore, of the NAP Project has been to face these barriers by improving coordination mechanisms, strengthening technical expertise, and establishing mechanisms for financing climate change adaptation.

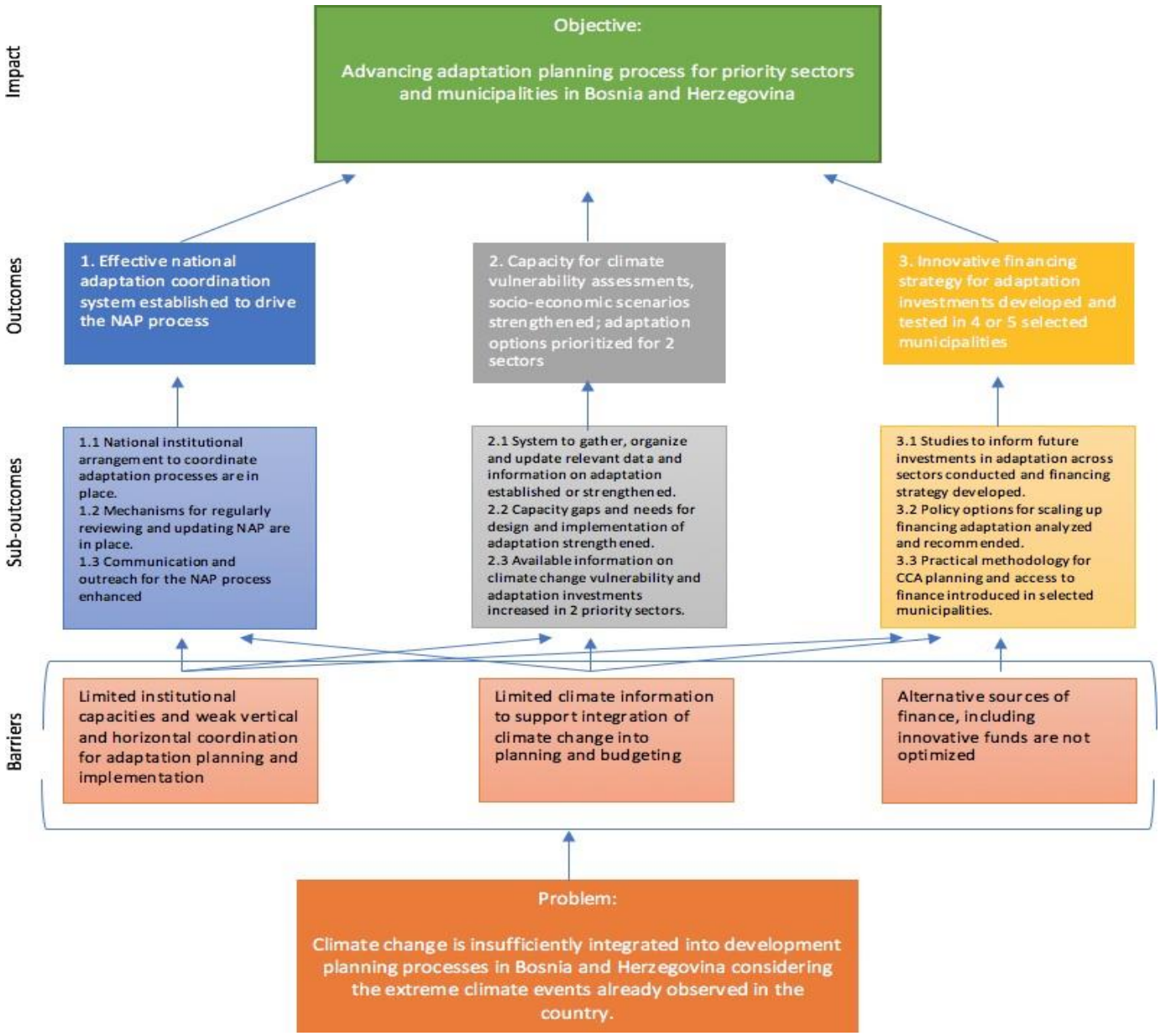
The specific objective of the Project has been: *to advance adaptation planning in BIH with a focus on sectoral approaches, upgrading the knowledge base for adaptation, prioritising adaptation interventions for the medium term, building institutional capacities for integrating climate change adaptation and demonstrating innovative ways of financing adaptation at the sub-national/local government level.*

For this, the resulting project structure entailed three expected outcomes, with three expected outputs in each of them. These are as follows:

- *Outcome 1.* Effective national adaptation coordination system established to drive the NAP process
  - Output 1.1 National institutional arrangements to coordinate adaptation processes are in place
  - Output 1.2 Mechanisms for regularly reviewing and updating NAP are in place
  - Output 1.3 Communication and outreach for NAP process enhanced
- *Outcome 2*. Capacity for climate vulnerability assessments, development of socio-economic scenarios strengthened, and adaptation options prioritized for 2 key sectors
  - Output 2.1 System to gather, organize and update relevant data and information on adaptation established or strengthened
  - Output 2.2 Capacity gaps and needs for design and implementation of adaptation strengthened
  - Output 2.3 Available information on climate change impacts, vulnerability and adaptation investments increased or shared in at least 2 priority sectors
- *Outcome 3*. Innovative financing strategy for adaptation investments developed and tested in 4-5 selected municipalities
  - Output 3.1 Studies to inform future investments in adaptation across sectors conducted and financing strategy developed
  - Output 3.2 Policy options for scaling up financing adaptation analysed and recommended
  - Output 3.3 Practical methodology for CCA planning and access to finance introduced in selected municipalities.

Although these are discrete and distinct components of project architecture, they are properly integrated and mutually reinforcing. This architecture is illustrated by the Theory of Change (ToC) diagram as seen below--whereby the analytical flow upward from the problem to the barriers to the sub outcomes and then to the outcomes is showed. Eventually linking to the objective/expected impact. The diagram also shows the solid interconnection between the different components. Therefore, considering the above, the ToC presents an outcome model that is not only a relevant and appropriate vision on which to base the initiatives, but it is properly structured to visualise expected change.

FIGURE 3: THEORY OF CHANGE DIAGRAM



Good practices of the design process have been: (a) the full integration of identified country's needs; (b) understanding of the intricate political make-up of the country; and, (c) the inclusion of a bottom up approach, in particular through the linkage with local communities (cities, municipalities, etc.). Different institutions and partners have pointed out that the consultative processes for design and the ensuing assimilation of partners' inputs and country needs in planning documents prompted positive implementation patterns.

RELEVANCE AND COHERENCE

Relevance, in the context of evaluations, is the extent to which an intervention's objectives and design respond to beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.

As background to the Project being evaluated, it should be noted that there have been several endeavours to deal with climate change (adaptation and mitigation) prior to this intervention, and which the Project builds upon and sustains relevance and coherence. For instance, the BIH UNFCCC and GCF focal point, Ministry of Spatial Planning, Civil Engineering and Ecology officially launched the NAP process in 2016. The NAP process began with a national consultation that engaged sector ministries and local government units via associations of cities and municipalities in both institutional entities (Republika Srpska and Federation of BIH).

The relevance of the Project is illustrated by its alignment with national policies as expressed in different national and international instruments and documents, taking into account national needs and priorities (keeping in mind political, social, legal and institutional context of the country). For example, the **country manifested these needs through its Second National Communications and Climate Change Adaptation and Low Emission Development Strategy (CCA LEDs) adopted in 2013. This document and its process of implementation have been keystone indicators of the NAP Project's relevance. This strategy makes preliminary identification of climate change's impact upon different key sectors (evidently based on the knowledge and information available at that time) and outlines specific intended outcomes and activities. Yet, the country found that implementation of this strategy was hindered and slowed down by knowledge and institutional capacity gaps that have stood in the way of developing and implementing plans as well as of drawing sufficient financial support for the implementation of these sorts of strategies. Which is exactly what the NAP Project intends to fulfil.**

Although not specific to policies, relevance is also tied pragmatically to the impact that climate change has upon the country and the potential that adaptation can have to create resilience and diminish damages. As indicated in the recent NDC, BIH is vulnerable to climate change due to its geographic emplacement, economic importance of its CC most vulnerable sectors (agriculture, water management and forestry), and due to its current limited capacity for climate change adaptation. As it is pointed out in this document, **according to the Climate Risk Index data for BIH taken from the Global Climate Risk Index, in 2014 the country ranked third in terms of total losses and damage caused by climate change. Clearly document analysis for this evaluation points out this inherent relevance.**

This relevance is reinforced based on analysis of stakeholders views. The significance of the intervention is key to the different stakeholders engaged within this process, notwithstanding which level of governments these stakeholders belong to or which sort of institution they are part of (local, national, state, technical, etc.). Based on an analysis of stakeholders' expressed points of view –in interviews—as well as in documentation--, this evaluation assesses the overall relevance of the Project's interventions to key stakeholder groups by the fact that what was aimed to be achieved is intrinsically linked to what are the needs and what is important to each sort of institution. For instance, for technical institutions the suitability of outputs/outcomes delivered is linked to the technical information, capacity and data needs that the stakeholders in these institutional setups require to provide information for decision – makers to generate and adopt adaptation plans that at final instance will stimulate implementation of identified adaptation actions and enable informed decisions for further actions for reduction of climate risks. For example, through the centralized system for climate change data management that is under establishment for the first time in BiH or through studies that assess the socio-economic impact of climate variation upon key sectors in the country. For local institutions (for instance, municipalities and local governments), the relevance is associated to the financial architecture proposed within the interventions deliverables to be able to plan for adaptation. For example, through the software and tools for municipal financing of climate adaptation, the trainings on financial planning, and the formulation of climate resilient investment plans with prioritization of investment plans **the municipalities are enabled to finance adaptation actions either from their own budgets or to seek for donor funds. For national stakeholders the expressed necessity to have**

planning instruments with adequate financial backing –and which the Project attended to—is associated to pertinence (such as the National Adaptation Plan and the Climate Change Adaptation Financial Strategy) as a crucial preconditions for achievement of the main goal: increase investments and enforce adaptation actions. Lastly, for all stakeholder institutions, the relevance is associated to capacity building to fill gap that has been identified at the beginning of adaptation process, including trainings on vulnerability assessment, identification and prioritization of actions in most vulnerable sectors, monitoring and evaluation of implemented actions, good practice and examples in adaptation from EU and neighbouring countries. The relevance has been confirmed trough high interest of institutional representatives in organized trainings and workshops where over 1200 institutional representatives actively participated.

Global relevance and coherence is manifested through the Project's alignment and consistency with global, regional and country's environmental policies and strategies, considering Green Climate Fund and UN/UNDP Strategic Frameworks, EU accession agenda and Agenda 2030. These are also pertinent vis-à-vis the country's commitments to international accords (UNFCCC / Paris Agreement) and in the framework of regional agreements. The most salient of these are highlighted below:

For UN and Agenda 2030:

- Contribution to Sustainable Development Goal (SDG) 13: Take urgent action to combat climate change and its impacts

For UNDP:

- UNDAF/Country Programme Outcome: UNDAF Outcome 5: By2019, legal and strategic frameworks enhanced and operationalized to ensure sustainable management of natural, cultural and energy resources
- 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

For GCF:

- Project falls under the Readiness and Preparatory Support Programme (also known as the Readiness Programme) which supports country-driven initiatives by developing countries to strengthen their institutional capacities, governance mechanisms, and planning and programming frameworks towards a transformational long-term climate action agenda.

For EU accession process:

- In general and in particular aspects, the Project is in concurrence to EU acquis guidelines. BIH as an EU potential candidate. The country has been pursuing this since 2003 and it has applied for EU membership in February 2016. Therefore, the Project is aligned with several aspects of acquis as defined in the Stabilization and Association Agreement with the EU of 2015, in particular for harmonization with EU legislation. Within the above context, the Project is relevant to develop climate policies to enhance and advance alignment with EU acquis as provided by bilateral agreements with EU.

Relevance is very much related to ownership and country driven-ness. Also, country priorities and their ensuing policies are not static and these evidently change over time. And, evidently, the impact of COVID-19has impactedoncountries'prioritiesandpolicyprorityshifts. Relevanceisnotastationary situation, therefore. However, in the case of the NAP Project, the pandemic has not greatly altered priorities and relevance since the need to adapt to climate change is perceived by stakeholders as a key factor in building resiliency and diminishing negative social and economic impact. **Overall, therefore, the Project is highly relevant (and remains so) with regard to national policies, country needs, and corporate mandates.**

Coherence is understood to be the compatibility of the intervention with other interventions, addressing this as internal coherence (i.e. synergies and interlinkages between the intervention and other interventions

carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres) and as external coherence (considering the consistency of the intervention with other actors' interventions in the same context). This includes complementarity, harmonisation and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.

There has been a high level of coherence vis-à-vis other interventions at the national level in the same field. Several of these initiatives were identified at design, and there were synergies with them at implementation. Others arose as implementation processes took place. The main initiatives in the country –identified at design-- which were of relevance to the NAP Project and with which there was coherence have been identified as follows:[6]

- Capacity Development for the Integration of Global Environmental Commitments into National Policies and Development Decision Making (GEF).
- Flood Hazard and Flood Risk Maps of BIH (Western Balkans Investment Framework (WBIF).
- Technology Transfer for Climate Resilient Flood Risk Management (Special Climate Change Fund (SCCF).
- Emergency Flood Relief and Prevention Project (EIB)
- DRR Initiative and Disaster Reduction and Response Application for Municipalities (UNDP)
- Floods and Landslides Housing Risk Assessment (EU).
- Support to Flood Protection and Water Management (EC Instrument for Pre-Accession Assistance (IPA II 2014 – 2020).
- West Balkans Drina River Basin Management Project (GEF).
- Municipal Infrastructure Development Fund (European Bank for Reconstruction and Development/KfW).
- Integrated Local Development Planning (Swiss Agency For Development And Cooperation).

In addition to the interventions identified at design, there are a number of activities and projects that have linked with the NAP Project in BIH. These fall under the very keen approach taken by the Project that adaptation is an integrated issue that needs to be also accompanied by and accompany climate change mitigation processes. This follows the concepts as laid out in the Paris Agreement where it is indicated (in Article 7) that "Mitigation co-benefits resulting from Parties' adaptation actions and/or economic diversification plans can contribute to mitigation outcomes . . .".

UNDP has a roster of activities and endeavours within its portfolio that generate complementarity and harmonisation with the NAP processes, coherent within and outside the Project itself. These are of course in many cases specific interventions, but the Project has either built upon these interventions as coordinated activities in order to avoid duplication of efforts and engender added value. The main interventions identified in the UNDP portfolio (current and finalised projects) that are interconnected with the NAP Project are as follows:

- GEF Project: Technology transfer for climate resilient flood management in Vrbas River Basin.
- Joint Swiss UN Programme: Disaster Risk Reduction for Sustainable Development in BIH.
- Catalysing Environmental Finance for Low-Carbon Urban Development (URBAN LED).
- Scaling-Up Investment in Low-Carbon Public Buildings.
- Green Economic Development (GED).
- Increasing Resilience of Livno, Mrkonjic Grad and Maglaj (IRLMM).

Other linkages have arisen with other new projects as implementation developed in the last few years. For instance, the NAP Project has linked with a new initiative called "Integrated System of Reporting and Transparency of BIH" (CBIT). This UNDP – implemented GEF - funded by the project has as its aim to help BIH meet obligations under Article 13 of the Paris Agreement.[6] As the Project Implementing Agency states, fulfilling this obligation implies defining the process of collecting, processing and sending data in order to establish a sustainable reporting system (in relation to the NDCs and other aspects of climate change) in accordance with commitments made under the Paris Agreement. **Increasing reporting obligations with limited resources, and improve the system of monitoring, reporting and verification of climate change to a system of continuous collection of high-quality data on greenhouse gas emissions is a task for the country which will be enhanced with this new CBIT project and in direct linkage with the achieved monitoring and evaluation processes that the NAP Project enhanced or started.**

In addition to the specific projects pointed out above, UNDP has collaborated in many ways supporting BIH in climate change mitigation and adaptation policy development as well as reporting internationally. **Reporting to the UNFCCC has been supported either as stand-alone processes or as part of several of the above mentioned interventions (for example, reporting related to NDCs and updated NDCs, National Communication Reports, NAMA, etc.) as well as support in the participation of Conference of the Parties.** This is mirrored, of course, by the collaboration and coherence between the Project and other endeavours (such as those pointed out above) and with international procedures (such as reporting) and Conference of Parties participation. **The country presented the updated Nationally Determined Contributions of BIH (NDC) to the UNFCCC in April 2021. The NAP Project participated in the NDC process, and –in part due to this-- for the first time NDC incorporated adaptations, identified the most vulnerable sectors, and defined the establishment of climate monitoring and evaluation. Moreover, CoP 26 of the UNFCCC --which took place shortly before this evaluation process started—included a presentation from one of the pilot cities participating in the Project (City of Zenica) under the thematic area: ''Cities at the crossroads – The UN System helping cities to accelerate climate, Objective: 3. Unlocking climate finance''.[7] This was done with sponsorship of the NAP Project.**

Also regarding relevance, gender equality and social inclusion issues have been incorporated in design and –due to this—some have been weaved into implementation. The UNDP Gender Marker for the Project output is GEN1 (GEN 1 marker indicates that the Project potentially has some contributions to gender equality). Planning documents indicate that the Project is to have gender – sensitive processes and indicators. For example, in expected sub - outcome 1.2 (*Mechanisms for regularly reviewing and updating NAP are in place*) it is specified that there will be a focus on gender sensitive monitoring to support development of BIH's NAP. Within the risk log it is designated that a gender base approach will be used, specifically through the inclusion of women in the different stages and activities of implementation. Similarly, the risk log indicates that the Project will ensure that vulnerable groups and people of all ages participate at all levels.

Implementation has followed this guidance regarding gender and women's participation. The implementation process has been inclusive of women, gender disaggregated data has been harnessed, and related operational steps have been taken to include gender as a cross cutting issue in outputs, products, specifically the gender sensitive indicators developed within M&E Framework. However, there is no strong inclusion of gender differential issues (for instance, information on the matters related to effective climate change adaptation recognizing that women experience impacts differently and how to act upon this). Enhanced understanding and acceptance of gender-specific vulnerability to climate change and the need for a gender-sensitive climate action is not fully fledged throughout design, planning, and –consequently—neither it is throughout products. Furthermore, or perhaps because of this, there is no evident strong ownership of gender

[6] Article 13, paragraph 1, of the Paris Agreement states: In order to build mutual trust and confidence and to promote effective implementation, an enhanced transparency framework for action and support, with built-in flexibility which takes into account Parties' different capacities and builds upon collective experience is hereby established.

[7] https://www.youtube.com/watch?v=Clv_i_1U72E

issues from stakeholders.

Overall, there has been strong participation of different stakeholders and partners. National, subnational, sectoral government entities (both political as well as well as technical institutions). However, there is no evidence of strong civil society or non – governmental engagement in the different stages of the Project.

Regarding social inclusion, when this is understood as a developmental issue, the Project (planning, implementation, and appropriation by stakeholders) is quite robust. In the first place, because project design (as well as project stakeholders) understand that climate change impact (and therefore adaptation) is one of the greatest developmental challenges the country faces. Furthermore, the impact of climate change upon livelihoods, health, and even life itself is duly acknowledged.

The Project objectives were relevant to the needs and priorities of the country. This is factual at all governance levels, from state to local. Relevance is also illustrated by the Project's alignment with national policies as expressed in different national and international instruments and documents, taking into account national needs and priorities (keeping in mind political, social, legal and institutional contexts of the country). Country level relevance, additionally --and a crucial factor-- is very much linked to the indelible impact that climate change has had in BIH, on the population per se as well as on the country's socio – economic development. The Project is coherent vis-a-vis a number of other factors: previous interventions in the country, corporate mandates, regional and global policies, as well as ongoing projects that do deal climate change, both in adaptation as well as in mitigation.

EFFECTIVENESS[8]

Effectiveness is the extent to which an intervention achieved, or is expected to achieve, its objectives and its results. It is the extent to which the development intervention's objectives, outcomes, and outputs were achieved or are expected to be achieved considering their relative importance. It is also an aggregate gage of the merit or worth of an activity, i.e., the extent to which an intervention has attained, or is expected to attain, its major relevant objectives in a sustainable fashion and with positive institutional development impact.

The results achieved within the different outcomes are presented in the three tables below which show cumulative achievements until this evaluation took place. Following this there is a narrative regarding achievements vis-à-vis effectiveness analysis.[9]

FIGURE 4: OPERATIVE ACHIEVEMENTS OF OUTCOME 1: EFFECTIVE NATIONAL ADAPTATION COORDINATION SYSTEM ESTABLISHED TO DRIVE THE NAP PROCESS

Outputs	Milestones and deliverables achieved
1.1 National institutional arrangements to coordinate adaptation processes are in place	• Effective NAP coordination mechanism established via inter-agency working group and institutional coordinators to support NAP process and development of NAP document • Gap assessment • Review of existing laws, by-laws or policies with recommendations for amendment of existing laws and regulations (officially adopted) • Development of Standard Operating Procedure, as an integral part of Monitoring and Evaluating Framework, completed, together with NAP document reviewed and accepted by relevant institutions and provided for official adoption
1.2 Mechanisms for regularly reviewing and updating NAP are in place	• Gender sensitive indicators, along with other CCA indicators identified as a part of larger M&E framework • Assessment of the existing policy and regulatory framework, recommendations for M&E framework have been provided and accepted • Technical guidelines and M&E tools finalised to complement SOP M&E is accepted by institutions • Training on establishment of climate change monitoring tools (reporting, monitoring and evaluation)
1.3 Communication and outreach for NAP process enhanced	• Communication strategy completed and agreed upon by local stakeholders • Eight photo essays, two NAP bulletins developed to showcase project developments and communicate lessons learned • Development of communication products to disseminate information on NAP process and raise awareness on CC adaptation process

Within this outcome the **national institutional mechanisms to coordinate NAP process are established** including the Interagency working group, the NAP institutional coordinators and the NAP Team Leader and expert group. All planned activities have concluded: **Standard Operational Procedures for horizontal and vertical institutional cooperation on climate data exchange was developed as an integral part of M&E Framework for the first time in BiH,** and is submitted for official adoption. A GAP assessment was completed along with a review

[8] Further information on the Project that illustrate many of the findings of this report can be found at: National Adaptation Plans in Bosnia and Herzegovina | UNDP in Bosnia and Herzegovina

[9] The source of the information in these three tables is the cumulative reporting by the Project contained in the Readiness and Preparatory Support. Interim Progress Report. July – December 2021.

of existing laws and by-laws/policies. **Relevant legislation was amended** (Law on Environment Federation of BiH is updated and officially adopted, flood management legislation with a Directive Specific Implementation Plan (DSIP) and an Action Plan for Implementation of Directive (APID) is also finalised for official adoption). A **National Adaptation Plan (NAP) document with defined adaptation actions has been developed** identifying most vulnerable sectors and necessary adaptation actions in agriculture, water management, biodiversity, forestry, human health and tourism, with **total value of planned actions of over 4,2 bn. USD.** The document is accepted by institutional representatives and distributed for official adoption. **Trainings on M&E to improve knowledge and practice on reporting, monitoring and evaluation (M&E) for institutions and training to build capacities of government staff for assessment, prioritization and implementation of CC adaptation actions were conducted with participation of 250 (101M, 149F) institutional representatives.** A **Communication Strategy has been developed** and agreed upon by stakeholders and communication products have been developed accordingly, including two **NAP bulletins, photo essays, raising awareness/knowledge, and promotional events** to raise awareness and knowledge on CC adaptation and NAP process.

FIGURE 5: OPERATIVE ACHIEVEMENT OF OUTCOME 2: CAPACITY FOR CLIMATE VULNERABILITY ASSESSMENTS, DEVELOPMENT OF SOCIO-ECONOMIC SCENARIO STRENGTHENED AND ADAPTATION OPTIONS PRIORITIZED FOR TWO KEY SECTORS

Outputs	Milestones and deliverables achieved
2.1Development of centralized system for data management is ongoing.	• Centralized system for data management is under development • M&E trainings with data providers/system users completed
2.2 Capacity gaps and needs for design and implementation of adaptation strengthened	• Capacity development plan for state and entity authorities completed • Integral CC adaptation training for water management, agriculture, environment, spatial planning, forestry and hydro- energy sectors • Trainings to raise institutional capacities on assessment, prioritization and implementation of adaptation action • Adaptation planning training: BIH and EU practice and methodological guidance
2.3 Available information on climate change impacts, vulnerability and adaptation investments increased or shared in at least 2 priority sectors	• Review of existing vulnerability assessments with updated in-depth vulnerability analysis for two most vulnerable sectors: water management and agriculture in line with developed new climate scenarios for BIH RCP 26, RCP 45 and RCP 60,as per IPCC 5th report completed • Adaptation measures for water management and agricultural sectors have been prioritized • Technology needs assessment in relations to CC for water management and agriculture sectors has been completed • Study on climate change impact on hydro-energy sector in Trebisnjica and Vrbas river basin • Adaptation measures defined for other vulnerable sectors (forestry, biodiversity, tourism and human health) • Assessments completed for 4 municipalities (Trebinje, Sanski Most, Zenica and Laktasi) • Climate vulnerability study for selected municipalities prepared for 4 municipalities • Development of study on CC socio-economic and environmental impact for agriculture, presented and submitted to relevant institutions

Based on climate change vulnerability assessment, developed socio-economic scenarios and adaptation options, adaptation measures for the water management and agricultural sectors have been prioritized and technology needs assessment in relation to climate change for the water management and agriculture sectors

have been completed. **Specific studies on socio-economic impact of climate change on the hydro-energy sector in the Trebisnjica and Vrbas River Basin are completed and presented/submitted to stakeholders for further use in adaptation planning and implementation**. A **Study on climate change socio-economic and environmental impact for agriculture is also finalised and presented/submitted to stakeholders**. Adaptation measures/actions have also been defined for other vulnerable sectors (forestry, biodiversity, tourism and human health). The climate vulnerability study for four selected municipalities has been finalized to support local adaptation planning and development of financial mechanisms. **Studies to assess risks of urban torrential waters and defining adaptation options in two pilot cities (Tuzla and Banja Luka) are under development**. Implementation of trainings to build capacity of government staff for assessment, prioritization and implementation of climate change adaptation actions is concluded with over 645 participants (298M, 347F). **Development of a centralized system as a tool for data management** is underway to support climate data collection, monitoring and evaluation.

The studies and tools developed within the project directly support decision makers in further informed implementation of climate adaptation for effective risks reduction.

FIGURE 6: OPERATIVE ACHIEVEMENT OF OUTCOME 3: INNOVATIVE FINANCING STRATEGY FOR ADAPTATION INVESTMENTS DEVELOPED AND TESTED IN 4-5 SELECTED MUNICIPALITIES

Outputs	Milestones and deliverables achieved
3.1 Studies to inform future investments in adaptation across sectors conducted and financing strategy developed	• Climate finance analysis has been completed • Development of GCF concept notes "Scaling up Climate Resilient Flood Risk Management in BIH" and "Reducing climatic impacts on crop yields and net farm incomes" • CCA Finance Strategy finalised and adopted by four pilot municipalities (Laktasi, Zenica, Sanski Most and Trebinje) Related Adaptation concept notes developed and presented to potential donors • Developed CC Adaptation Finance Strategy BIH and accepted by relevant institutions
3.2 Policy options for scaling up financing adaptation analysed and recommended	• Four municipalities (Zenica, Laktasi, Sanski Most and Trebinje) had assessment of existing market barriers • Feasibility assessment for complementary sources of finance, applicable finance mechanisms, and new finance approach for adaptation finance in selected municipalities finalised • Adaptation finance strategy completed and accepted by 4 municipalities • Adaptation finance approach introduced in 4 pilot municipalities
3.3 Practical methodology for CCA planning and access to finance introduced in selected Municipalities	• Software and tools for municipal financing of climate adaptation developed and tested • Trainings on development of CC adaptation finance models completed in 4 pilot municipalities • Trainings on financial planning in adaptation completed in four municipalities (Laktasi, Zenica, Sanski Most and Trebinje; 25 trainings conducted with over 300 participants • Formulation of climate resilient investment plan, projects prioritisation, preparation of project proposals, case studies • Prioritization within the Investment Plans

Within this outcome the project has analysed existing climate finance in BIH, identified complementary sources of finance, made feasibility assessments for 4 pilot municipalities, applicable finance **mechanisms and new finance approaches for adaptation finance in four pilot municipalities: Laktasi, Zenica, Sanski Most and Trebinje and developed Finance mechanisms and tools to enhance adaptation investments**. **Trainings on development of CC adaptation finance models** are completed in the 4 pilot municipalities as well **as investment plans and municipal Adaptation Finance Strategies developed, which were presented and accepted by pilot municipalities.** Also, Project Concept Notes were developed for selected municipalities and presented to potential donors/DFIs. **The Adaptation Finance Strategy for BiH has been finalized for the first time in BiH**,

consultation process is completed, and the Strategy will be provided for official adoption. The project also has **developed GCF concept notes on "Scaling up Climate Resilient Flood Risk Management in B&H" (that is under approval process by GCF) as well as "Reducing climatic impacts on crop yields and net farm incomes".**

The importance of activities for both local communities and institutions has been recognized from the very beginning, which has been demonstrated through active **participation of 345 participants (187M, 158F) in trainings and development activities.**

Overall, the intended results have been achieved fully for most outputs or very few on track to be achieved while this evaluation takes place in a few of them. Therefore, there has **been a high degree of operative** effectiveness given that the NAP Project has achieved or is expected to achieve all of the anticipated results when comparing against its result framework indicators.

By all accounts (self – reporting by the Project, stakeholders' inputs, document review), some of the Project accomplishments -at the product level - stand out as the most salient and more constructive ones, particularly regarding the technical assistance they provided, such as for example:

- National Adaptation Plan document which is supported by
  - Standard Operating Procedures (SOPs) for horizontal and vertical institutional cooperation on climate data exchange
  - Monitoring and evaluation framework.
- Studies with determinations of vulnerability per sector (such as agriculture, water management, biodiversity, forestry, human health and tourism) with financial outline of costs needed for implementing adaptation planned actions.
- Climate Change Adaptation Finance Strategy for BIH.
- Documents regarding finance mechanisms and tools for adaptation investments at the municipal level (in cities of Laktasi, Zenica, Sanski Most, and Trebinje).
- Data systems.
- Capacity building and training activities.

These accomplishments are supported by a number of processes that lead to these main products and, eventually, to the outcomes. That is the effects and therefore effectiveness of these products arise out of the following processes:

- Capacity building activities (study tours, trainings, workshops) generating institutional and individual capacity for technical and governance institutions.
- Communication strategy and dissemination plan (including bulletins, knowledge management processes, presentations in international fora) for disseminating information that can lead to greater awareness and support policy approval.
- Baselines studies and data systems (including system for climate change adaptation data management with two environmental funds) aiding in determining vulnerabilities, impacts and support policy making and policy implementation, as well as further focused catalytic sectoral work, such as:
- Studies on the impact (vulnerability and socio – economic effects) of climate change upon determined sectors, such as:
  - Agriculture
  - Water
  - Energy (hydro power)

  - Urban (in particular as it relates to flash floods) in pilot sites (Banja Luka and Tuzla).

- Support for regional and global reporting commitments (UNFCCC) to aid in fulfilling international commitments.
- Support for EU acquis process, such as reform of norms in order to align with EU Directives (flood management for example)
- Anchoring of financing architecture for adaptation through different products, such as the concept note for follow – up –for Global Climate fund-- on the subject of ''Reducing climate impact on crop yields and net farm income'' and on "Scaling up Climate Resilient Flood Risk Management in BIH".

It should be noted also that there have been some unplanned or unexpected yet positive effects resulting from project implementation. For instance, there has been very close communication amongst and between stakeholders generated within the Project and due to its activities, exchanges, capacity building processes. This has engendered further interaction outside of the Project creating direct channels of communication between different stakeholders that were not there previous to this intervention.

An evaluation of this type not only discerns what was accomplished, but also differentiates the reasons behind the successes and failures of a project in producing its different outputs and meeting expected quality standards. That is, the assessment not only analyses what but also *how*, *why* or *why not* achievements were made. **The Project's effectiveness at this implementation stage has been positive and there are a number of factors that have contributed to the accomplishments thus far.**

It is understood that, intrinsic to this finding, there are very clear factors that have contributed to achievements thus far. The contributing factors identified are as follows. Since effectiveness is a criteria very closely related to efficiency (which will be analysed in the next section of this report), some of the reasons for achievements or for delays/failures also pertain to efficiency. In order to avoid repetitiveness, these overlapping factors are only analysed here and not repeated in the subsequent sections:[10]

- *Project Management Unit.* **Although the number of staff within the Project Management Unit was very small, they were by all accounts (that is accounts from different stakeholders and from different institutions) a key proactive factor in obtaining the achievements that were attained in a timely manner.** Approach and dialogues with different stakeholders, understanding of the country needs, as well as adaptive management procedures which were implemented by the Project Team were factors that greatly contributed to achievements. The adaptive management procedures were pointed out internally and externally to the Project, implementing changes in consultancies when these proved not to be adequate; engaging in dialogues with different stakeholders when political changes implied variations in personnel in the different institutions involved; and –of course—adapting to online implementation during periods of restrictions due to COVID-19. **The work of the PMU (together with the other contributing factors indicated below) have resulted in a high level of approval of the Project and of its results amongst stakeholders/final beneficiaries.**
- *Technical support*. **The high quality technical support the NAP Project provided and/or leveraged**

[10] Although some local – level governments indicated throughout the interviews that they were not included in the design processes local representatives indicate that the design stage in effect was positive since the Project was cognizant on their policy gaps and eventual financial needs to support policy implementation to deal with climate change adaptation locally. As indicated in other sections of this report, the lack of inclusion of particular actors might be a perception that is due to rotation of personnel. Local level was consulted during the design stage at the level of associations of cities and sample of municipalities of both entities, covering in this way all 143 local communities in BIH. Additionally, consultations were made with local communities of Doboj and Maglaj, which were flood prone, and cantonal level ZE DO canton.

is much valued by different stakeholders and greatly contributed to achievements. With the understanding that one of the explicit and implicit aims of this project is to be a capacity building exercise for the country, this is a very positive contributing factor. Technical support was from GCF, UNDP, the PMU as well as the support from consultants and the knowledge base from these institutions.

- *Capacity building*. One of the reasons for the NAP Project's achievements (and an accomplishment that impel strengthening capabilities at the national level and potentially sustainability) are those secured by creating internal capabilities. Within the Project it has been found, for instance, that when expertise leveraged by the Project anchors national capacity and creates products that are more applicable and germane to national systems and the potential implementation of what has been attained. All in all, and **bringing-in capacity building to the products and processes has entailed formal, informal, and information capacity built (at the individual as well as at the institutional level) and promoted innovation among over 1200 institutional and municipal representatives. This is potentially a contributing influence not only for effectiveness features but also for sustainability building upon the Project's very strong data and capacity building factors.**
- *UNDP as an independent entity*. Although UNDP is perceived by national stakeholders as an institution that recognises the intricacies and complexities of BIH governments and political make-up of the country, it is also identified as an institution that is beyond the divisions and workings that make up BIH at the time of implementation. This has pervaded also to the Project, and key institutional stakeholders express that the **Project has managed to achieve outputs and outcomes to a great degree by being capable of surpassing internal country divisions.**
- *Fulfilling EU accession requisites as a driver*. A strong driver for this project has been EU accession, which –in turn—is an overall strategy of the Government of BIH. Given this strategic outlook, the Project has engendered several key processes, such as adjusting normative / regulatory reform and alignment with the UNFCCC and specifically the Paris Agreement as a pre requisite for the path to EU membership, as well as processes for political association and economic integration. Being the EU one of the major cooperation donors in the country, the Project has also worked with relevant stakeholders (in governments, also at the local level, etc.) in generating information that can aid in absorption of EC funds for implementing national, regional, and local adaptation activities.
- *Inclusiveness of municipalities and local institutions*. **The inclusiveness of municipalities, cities, local institutions in implementation is also a positive contributing factor for the achievements.** The NAP process began with a national consultation that engaged sector ministries and local government units via associations of cities and municipalities in both entities (Republika Srpska and Federation of BIH).[11] However, this evaluation understands that this is not only positive factor. The "bottom up" approach together with overall upstream approach was instrumental because the Project did not exclusively deal with CC adaptation from a municipal/local level, but it also dealt with it from a state and national level.
- *Integrated and systematic approaches between policy and financial architecture to support adaptation*. The Project took an early on approach acknowledging that adapting to the impacts of climate change negative effects needs to integrate policy/operational frameworks with financial planning. **This approach has been substantive for appropriation given that (a) the integrated approach engenders policies with a higher degree of possibility for adoption due to this and (b) provide inputs for seeking funding from outside sources**. The congruence between national/state to local policy and financial planning is a positive aspect also, not only for the Project's achievement themselves but also for potential implementation and sustainability.

- *Ownership*. Stakeholders from different governments and diverse institutions reveal a high degree of ownership of the Project's outputs and outcomes as a whole and an impulse for country – level drive-ness. To a great degree this is due to the high level of relevance of the Project's aims for the country as a whole. However, this is also due to some of the factors indicated above, such asthe integrated approach, the aggregation of "bottom up" and "top down" methods, as well as the different drivers that steer climate change adaptation needs in the country. This is also a factor that can be associated to the appropriate inclusion of key stakeholders in planning and in producing programmed outputs. This inclusiveness has paved the way for contributions of different partners to achieving outputs and eventually achieving expected outcomes as well as to effective partnerships. Ownership also aided in integrating and connecting the different areas of government and different institutions, and promoting exchanges between and among different areas of work within the country.

There is also a series of factors that are constraining factors for achievements / effectiveness thus far. They are highlighted below:

- *COVID-19 pandemic.* Although the Project did have a good adaptive management process for this (going online as necessary, for instance), the pandemic of course hindered implementation since person-to-person interactions and displacements were stalled and –in part due to these-- political processes were delayed. That is, concerning the operational side of the Project and due to travel and gathering limitations, the Project had to either conduct processes in a virtual mode or even cancel planned activities (such as study trips or personal exchanges of information with other countries and the EU). Due to the emergency, temporary shifts in priorities to attend to the pandemic has hampered or delayed to some degree the political processes that need to take place for adoption of NAP and its ensuing policies.
- *Political issues within BIH.* In addition to the already intricate political and governmental nature of BIH's institutions, in the last few months a political crisis has been ensuing in the country, with the functionality of government affected. This, in addition to the upcoming elections in 2022, has to some degree affected policy adoption, debates, and other such matters.
- *Partial linkage between relevant sectoral areas of governments.* Although there has been linkage between the different areas of governments that deal with the issues related to climate change adaptation, this has been to some degree imperfect. This is manifested not only at the administrative level but also at the conceptual level. When key sectors are identified as vulnerable (for example, water or agriculture or forestry), often these are not perceived as integral issues that need to be treated integrally and still operate as silos.
- *Set up of Readiness and Preparatory Programme at the same time Project was initiated.* BIH was one of the first countries to develop a concept note (and eventually be approved for funding) for the GCF's Readiness and Preparatory Programme. As such, the country endured some issues that can be associated to the set-up of this Programme, and that resulted from deficient communication between GCF and UNDP, and to some degree between UNDP headquarters and the Country Office. For example, the definition of project start-up date (and therefore of project duration) was understood to be upon signature by the GCF while for UNDP/Project it was understood to be when Project document was signed, in line with previous practice (which in fact was a few months after signature of approval). UNDP CO learnt about this change only in early 2020.
- *Lack of donor financing for several periods and diminished expectations of funding for the Project.* There are other instances where problems have arisen out the set-up the GCF's Readiness and Preparatory Programme. This circumstance (i.e. set up of the Programme) took place when the

BIH project was already approved, yet at the same time negotiations between GCF and UNDP were underway to have the latter institution accredited as an executing entity. Financial flows for the Project were stalled while consultations and amendments were being negotiated and/or approved. This resulted in six months in 2020 and in four months in 2021 where no financial flows from the donor materialized. The UNDP Country Office was able to fund project activities and personnel expenses during those periods from other resources, demonstrating practical adaptive management in order not to delay implementation and in order not to lose momentum in the periods where no funds were available from the donor. Lastly, the Project was conceived and designed as a 3 million US Dollar project, yet it received nearly 2.5 million US Dollars. The understanding at the time of project planning, with GCF, was that a phase approach would ensue. That is that the 2.5 million would be the first tranche and that the other half million dollar would follow as a second phase. However, at the time of planning it was not clear that this phase approach was not consequential and that the Project/UNDP would have to apply once again for the remaining expected funds. Due to the high transaction costs for UNDP for what the agency is a small amount of funds it appears not be feasible to apply once more, although these funds would have been highly useful and moved further along the implementation of pilots at the local level.

Essentially, overall, the NAP Project in BIH has been effective in setting up different processes that have led to tools for the improvement of climate change adaptation planning in the country. The Project has made strides and contributed to generate institutional and individual capacity to advance in the adaptation planning processes. Of course, it now remains with the institutions to adopt the tools and capacity built in order to implement climate change adaptation policies.

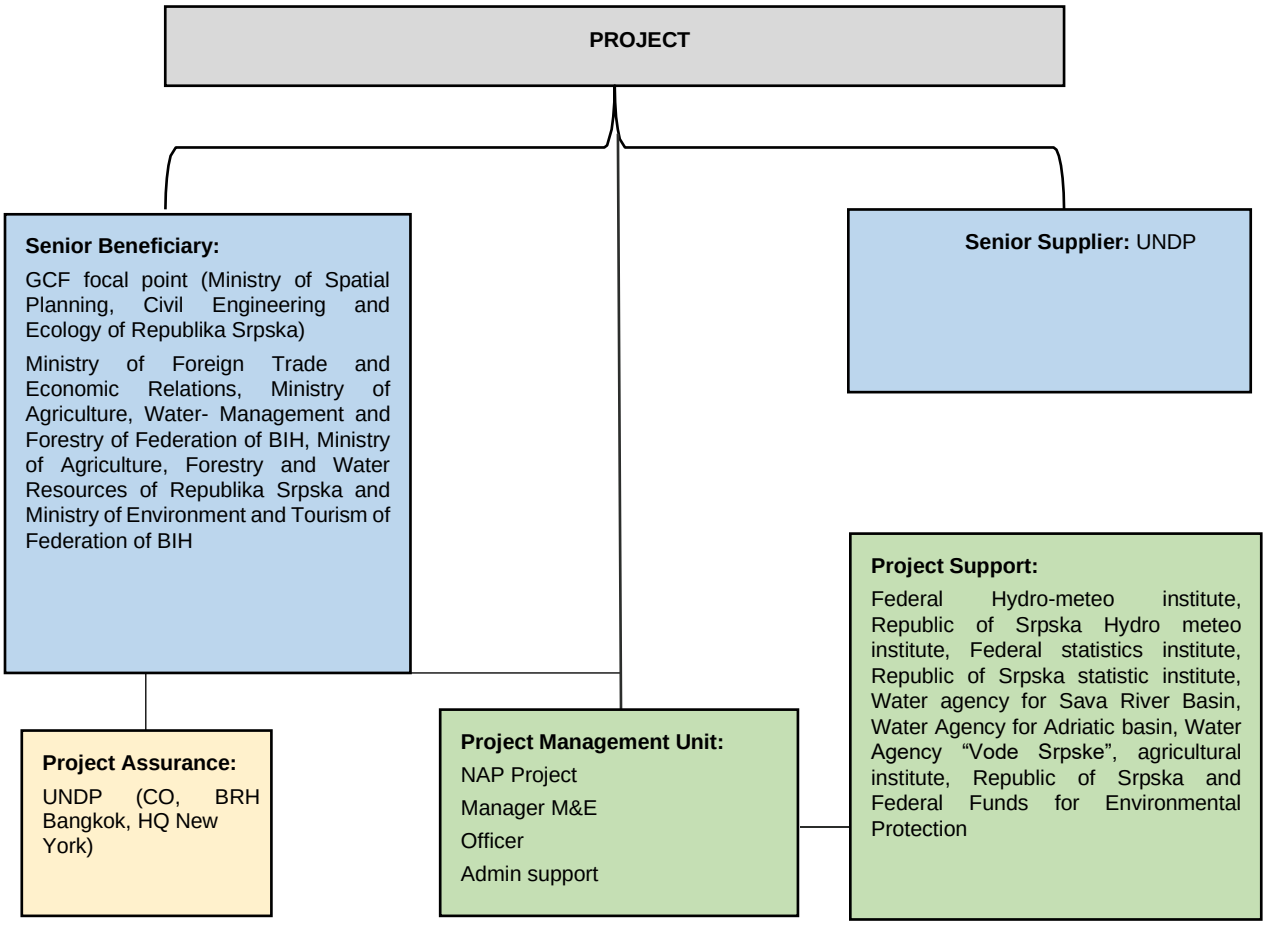
The Project has been effective in the sense that its intended results have been achieved, when comparing against its result framework indicators as well as by engendering unexpected positive outcomes. Some of the Project accomplishments -at the product level - stand out as the most salient and more constructive ones, particularly regarding the technical assistance provided, such as the developed National Adaptation Plan and satellite documents and the Climate Change Adaptation Finance Strategy, which in tandem can --once approved-- forge ahead in adaptation planning in the country. A number of factors contributed to effectiveness such as: PMU support, technical assistance linked to capacity building, fostering an integrated planning and financial approach, UNDP as an external actor to national political issues, inclusion of local governments, EU acquis as a driver, as well as an overall ownership by the different institutions and actors involved in the Project.

EFFICIENCY

Efficiency is the extent to which an intervention delivers, or is likely to deliver, results in an economic and timely way. For this, economic is defined as the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs, outcomes and impacts, in the most cost-effective way possible, as compared to feasible alternatives in the context. This criterion also includes operational efficiency.[12]

The Project was implemented in UNDP's Direct Implementation Modality (DIM) and in accordance to the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP. The project has a management structure and governance structure outlined in the Project Document. The following diagram illustrates how this multi – layered management arrangements were to be setup.

FIGURE 7: PROJECT MANAGEMENT STRUCTURE



The project had a board with clearly delineated duties and roles to ensure overall governance. This structure functioned well (even through periods with COVID-19 related restrictions). Stakeholders took active participative roles (through the effective management and through other implementation areas). The active involvement in different capacities of policy and technical institutions, this has led to efficient support by partner institutions in supporting the whole implementation process.

[12] OECD/DAC Network on Development Evaluation. *Better Criteria for Better Evaluation. Revised Evaluation Criteria Definitions and Principles for Use*. February 2020.

As indicated earlier (in the section on effectiveness), although the Project Management Unit was very small, it very efficiently implemented the Project including following all monitoring and reporting processes for UNDP and for GCF. Also, they successfully navigated the different challenges (some of these even unexpected risks) such as COVID-19 related restrictions and irregular funds flow for 10 months of implementation. The project management structure as outlined in the Project Document has been efficient in obtaining results. The combined expertise of the Project team and advisors/consultants is satisfactory to deliver against the Project objectives and targets.

The Project had a monitoring and evaluation plan to observe results and track progress towards achieving objectives. As stated in planning documents, results as outlined in the Project's results framework were to be monitored and reported annually and evaluated periodically during project implementation to ensure the Project effectively achieves these results. The Project had several M&E and reporting requirements to attend to, both those pertaining to UNDP and those mandatory through GCF- specific M&E and reporting requisites. Regarding UNDP requisites, since the Project is part of UNDP and is linked to corporate UNDP strategic objectives therefore, as all other projects in the CO, it reports on its contribution to those objectives. Regarding GCF, the Project reported via semi – annual reports and financial reporting. This proved to be demanding, although the PMU fulfilled these requisites. In particular fulfilling reporting with close timelines (such as the semi – annual reports in addition to other monitoring tasks). Although the planning document (ProDoc) mentions a mid-term review, this was not specified in the plan and –therefore—not carried out.

The Project did also have an efficient communication and outreach component. With the specific purpose of raising awareness and knowledge regarding climate change issues in the country, the Project developed a number of communication and information dissemination products and activities. Among these there were mainly periodic bulletins, photo essays, and other such products.[13]

The total planned cost of the Project was USD 2,506,812, financed through a GCF grant of USD 2,506,812. UNDP, as the GCF Accredited Agency. The project spending up to the time of the evaluation is 2,129,444 USD (December 2021). This represents 85 percent of total budget. All remaining funds have been allocated/committed/contracted. The Project is planned to conclude in April 2022.

Resources (of several types, not only financial) have been allocated strategically to produce results in an economic manner and as planned, notwithstanding issues such as financial flows and COVID-19. There is a positive inputs – results relation therefore within project implementation. **At the time of this evaluation (i.e. nearing the intervention's planned end) all expected overall targets have been achieved or are on track to being achieved, fulfilling expectations regarding financial performance with regard to overall targets as compared to the realisation of set outputs.**

The Project has been efficiently implemented. Resources of all types have been allocated strategically and economically to achieve results. Activities were delivered scheduled with the prearranged financial resources. The project management structureas outlined has been efficient in obtaining results (at the output as well as at the outcome levels). Issues in fund flows from the donor to the relevant partners occurred, and although they were positively steered by the Country Office and project management, had an impact upon efficiency.

[13] https://www.linkedin.com/posts/green-climate-fund_urban-life-reconsidered-by-undp-climate-on-activity-6747402098083803136-eNZB

https://www.ba.undp.org/content/bosnia_and_herzegovina/en/home/climate-and-disaster-resilience/NAP.html

IMPACTS AND CATALYTIC ROLE OF THE PROJECT

Impacts, and effects, are contributions to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust-building and conflict resolution processes, information-sharing systems, etc.).

In those terms, the Project has had quantitative and qualitative effects and impacts in the path to developing a systematic approach to climate change adaptation planning in BIH. The Project, with key partners, have developed a number of studies, baseline documents, plans and strategies, as well as supplementary capacity building activities. Some of these products and processes can be analysed numerically, given that the indicators in the result framework have accurate product metrics for these, such as number of planning documents developed or number of workshops carried out. However, some of these are exclusively output indicators and impact or effect can only be analysed qualitatively, therefore. For instance, several indicators regarding capacity are output indicators (e.g. number of people trained, number of workshops held) and not outcome indicators (e.g. level of capacity as a result of training and/or uptake of the capacity building activities). **Nonetheless, qualitatively it can be stated that capacity has been enhanced by the Project since testimonies and future planned policies are to a great degree to be based on the outputs and outcomes generated.**

In general, it can be said that there are contributions to change adaptation planning. That is, the Project has achieved high quality outputs (such as the NAP and its auxiliary documents as well a financial strategy document, for instance) that –once implemented—can make key contribution to policy/legal/regulatory frameworks and governance architecture, but specifically to further adaptation planning and implementation of adaptation actions. The same is relevant vis-à-vis financial planning strategies. That is, once a strategy is implemented and funds (internal and external) are leveraged for the implementation of adaptation processes (including monitoring and evaluation), these would have clear effects/impacts/influence with well-defined results in adaptation.

As specified elsewhere in this report, an unintended yet positive result from this intervention has been the elevated cooperation and exchanges engendered between and among the different beneficiary institutions (specifically among sectors of water management, agriculture and spatial planning) as indicated by a number of stakeholders both from within the Project and outside partners. It even has been pointed out that these exchanges are now horizontal (that is, that institutional exchanges and cooperation are beginning to take place outside the Project among the different institutions dealing with climate change).

Development of tools and products would potentially have had a quite different outcome without Project intervention. The value added of the Project in the context of BIH has been even pointed out since planning. For instance, it was pointed that the country's Second National Communications and Climate Change Adaptation and Low Emission Development Strategy (CCA LEDs), adopted in 2013, could not fully advance in the development of adaptation tools given knowledge and institutional capacity gaps, that have stood in the way of developing and implementing plans as well as restrained drawing sufficient financial support for the implementation of these sorts of strategies. The Project contributed, therefore, in filling these capacity, information, and planning tools gaps.

All of the above is intrinsically related to the catalytic role of the Project. The potential catalytic role (since the documents and planning tools are in the process of approval and adoption within the different pertinent institutions as well as to the needed the dovetailing these products with different policy development processes) is varied, as described below:

- Policy documents have been drafted (such as NAP with SOPs, etc.) which –once approved and implemented— would derive in policy changes and strengthen the adaptation planning situation and implementation of specific climate adaptation actions in-country.

- Studies on impact of climate change on the different key and most vulnerable sectors can potentially have a catalytic role in order to provide information to validate the needs for policy and to support investment planning, For example, by Identifying the resources required to meet adaptation needs and develop a financing strategy in relation to the economic importance of the sector vis-à-vis the financial impact of climate change upon it.
- Financial planning strategies have the potential to aid in leveraging national and donor funds to support the needed investments (from the national to the subnational and to the local levels institutions) to generate adaptation and enhance resilience.
- Data gathering for monitoring impacts of climate change has catalysed institutional changes to strengthen the relevant organizations (mainly technical) in order to improve their approaches and information in dealing with climate change.

There are a number of other potential future catalytic and up scalable effects (some even unplanned) that can be pointed out, which are either in the making or emerging upon project conclusion, such as:

- Administrations at the municipal and city levels within the pilot local areas that took part in the Project are in preparation of planning exercises for the next few years (seven or ten year local development plans). **These would incorporate adaptation matters (both planning tools and financial strategies) into their regulatory framework based on the knowledge generated, capacity built, and information harnessed by and through the Project, expanding also to other local level cities/municipalities.**
- The activities, lessons learned, best practices, products and results have a high potential for information exchange with catalytic and upscaling possibilities between and among other countries within the UN's climate change adaptation setting. Since BIH has been one of the first countries approved within GCF's Readiness and Preparatory Programme, it has a high degree of catalytic potential in this arena given its approaches and results.
- The Project strategies for accessing robust climate finance (both for internal national and local financing resources, as well as from international and regional donors) can also be a catalytic and innovative factor generating an enabling environment for the investment of adaptation activities and for supporting infrastructure investments.

Regarding impact, in the NAP Project in BIH it is clear that there have been contributions to potentially generating a more resilient governance structure to deal with climate change adaptation at several different institutional levels. Albeit the most salient policy frameworks are still to be adopted, if they are they can provide a potentially strong context for adaptation that includes information systems, monitoring, as well as financial planning. The changes, i.e. impacts, that the Project has brought about include not only drafting of policy but also enhanced individual and institutional capacity. All of the above are linked also to the possible catalytic effect (planned and unplanned) that the Project has, such as influence upon other potential policies beyond the NAP that can engender better adaptation planning (such as local level planning instruments, access to climate finance, as well as information sharing beyond the country).

SUSTAINABILITY

A project's sustainability is understood to be the extent to which the net benefits of an intervention continue, or are likely to continue once an intervention has ended. The NAP Project in BIH has a formal sustainability approach given that it intends to foster benefits through imbedding its outputs by explicitly building and generating in – country capacity to deal with climate change adaptation.

Within the NAP Project there are some very specific concrete potential sustainability factors and elements. These are related to matters such as relevance/ownership, capacity and institutional building, policy, etc. that the Project supported. Below is a narrative on what extent are there different elements potentially sustainable.

Socio-political sustainability: The Project has been very much country-driven and country-owned, with technical and institutional capacities developed or enhanced, and closely linked to BIH needs regarding climate change adaptation planning. **National ownership is considered instrumental for sustaining enhanced capacities with beneficiaries and partners** and to engender socio – political sustainability. Overall, therefore, there are no identified social risks that can undermine the longevity of the Project's outcomes or outputs at the level of stakeholder ownership. Nevertheless, the political risks are present due to several inherent as well as conjunctural political factors in BIH.[11]

Institutional framework and governance sustainability. The foci of the Project do directly and indirectly link to institutional framework and governance sustainability, such as fostering national normative and planning instruments. This is linked to institutional strengthening at national levels coupled with mainstreaming of climate policies and planning into national, subnational, local policies and frameworks and improved access to climate finance. The Project has created the tools that can pave the way to setting up frameworks, policies, governance structures and processes for resilient adaptation to climate change. **This includes not only the plans drawn (including drafted policy documents have been prepared such as NAP with SOPs, etc.) but also the information systems in place to monitor climate change impact and therefore inform decision – making processes in the future. The foundation documents (plans, strategies, procedures) have been developed within the Project together with partners, which adds to institutional building.** These completed documents have undergone debates and consultation phases (including technical finalizations and consultations), the consultation (debates) have been completed and all opinions of institutions and experts have been incorporated to the documents. Regarding these tools, i.e. policy documents, the next step of adoption is crucial for sustainability. Sustainability can only be achieved if governance tools are properly affixed in the institutional architecture of the country. First of all, the approval of the NAP and other related documents is a keystone step to foster and anchor institutional and governance sustainability. Relating to this there are several aspects that give rise to different outlooks upon the probability of sustainability. On the one hand, although stakeholders express that **there is a high probability of approval of the climate adaptation tools engendered within the Project framework (which is undergoing official adoption processes by the different relevant institutions at the same time as this evaluation process) given that there are no perceived conflicts in the issues** in its make- up, the highly intricate government structure of the country and the current political crisis as well as currently deferred decision – making processes awaiting the results of upcoming elections in 2022 all call for a more cautious perspective. On the other hand –however-- **the high level of ownership of the processes that took place within implementation, the keen awareness that the country must commit to planning for adaptation, as well as the EU acquis driver that can accompany implementation of climate change policy are contributing factors to the possibility of sustainability.** Regarding information systems and other institutional capacity, as well as technical knowledge transfer that has taken place, the Project has been very strong in generating capacity at different planes (technical, data, and of course policy). And there are indications that this capacity (again institutional and also individual) in technical areas (for instance those related to water) can continue to provide benefits after closure and help in overall institutional and

[11] In order not to be repetitive, these factors are further explored in the section on institutional and governance sustainability.

governance structures.

Financial sustainability: The likelihood that financial resources would be available to implement the results, outputs and outcomes once a project ends is of outmost importance for an intervention. Without an adequate planned financial strategy to leverage resources for sustaining a project's outcomes an intervention is not truly likely to sustain its outcomes. The Climate Change Adaptation finance strategy as well as its satellite documents have been some of the Project's good practices in this regard since they create a strategic framework within which the outcomes can be backed --at the state, sub national as well as local levels. **The CCA finance strategy would have to have official adoption immediately after the NAP is adopted, and –if these steps conclude adequately—it can help in creating the proper conditions for financial sustainability. The knowledge transferred through the financial documents can engender capacity to create an enabling environment for continued financing of the outcomes, from national/regional/international sources.** Regarding other sources of potential financial support to continue work in this area, **the Project has developed concept notes for further funding for GCF and has provided a number of inputs –documents and training-- so that institutions (such as governments including local) can potentially leverage financing sources.**

Overall, the prospect of sustainability is positive, yet with some caveats. The Project leaves a series of products that –once properly operationalised-- are the basis for adaptation planning as well as for further work in this area. All of the above, the challenging as well as the positive aspects of sustainability prospects, open projections for further work in the country (country driven and/or supported by international donors) to aid in setting up mechanisms that sustain innovations and mechanisms for climate change adaptation planning. Furthermore, there is also ample opportunity to expand and refine climate change work. For instance, by zeroing in on particularly vulnerable sectors, by engendering integrated management, by supporting actors which are not generally part of adaptation practices and planning such as local stakeholders.

From planning onward the Project has embedded outputs and outcomes to potentially engender sustainability. Through the linking of capacity building, filling knowledge gaps to informdecision making, and through the development of tools (such as NAP, CCA strategy, etc.) the probable sustainability factors of the Project are enhanced. At the time of this evaluation the planning tools developed that need official approval are in that process which, as or if takes place, will greatly cement sustainability.

CONCLUSIONS

BIH is very aware of the negative impact of climate change upon the country, upon its society and upon its future development. There are still very clear memories of the 2014 floods and its losses in human life as well as socio – economic losses. Natural disasters, especially floods in certain geographical regions, affect the country almost every year. The relevance of the Project is manifested through these needs and also through the barriers as well as the institutional, financial, capacity, and knowledge gaps identified prior to implementation.

The Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina **project has successfully achieved its aim to support the Government of BIH to advance the National Adaptation Plan (NAP) process.** As planned, the Project has helped in creating enabling conditions and tools to better integrate climate change planning into the country's national development planning, including financial plans. Furthermore, it has done so integrating pilot cities and municipalities to demonstrate that the issue of adaptation is multi-level and must be faced at different institutional levels and with different sorts of stakeholders (governmental and technical).

The Project had a positive developmental outlook, understanding that adaptation to climate change is a multi-faceted development issue that affects health, social wellbeing, as well as economic factors. Although the intervention included gender disaggregated data and participation of women in key areas of the Project itself, the products themselves do not fully take into account many aspects regarding the inclusion of gender differential issues (for instance, information on the matters related to effective climate change adaptation recognizing that women experience impacts differently and how to act upon this). Furthermore, there has been strong inclusion of different governmental and technical institutions as partners, but there has been no robust engagement of civil society in the different processes.

The Project built upon and proceeded coherently vis – a- vis many other endeavours within the country that deal with climate change, both regarding adaptation but also mitigation. There are several explanations for the achievements including: the **Project management team support and inclusive manner of developing products, national ownership, incorporation of a bottom-up approach, as well as several external drivers, such as EU acquis national strategies.** The Project faced many challenges also. The COVID - 19 pandemic has evidently been a challenge, not only for implementation per se (that is, by changing to online modalities for several activities as well as due to the restrictions of movement for safety reasons), but also because it has delayed a number of political processes due to restrictions in – country. The intervention also stood several programmatic issues, with a high portion of its implementation period without timely disbursements from the donor as well as institutional communication issues. Lastly, since mid – 2020 the country has had (and continues to have) a political crisis which –in addition to the political complexities of BIH regarding adoption of policies—has hindered and/or slowed down the approval processes that would redound in uptake.

Notwithstanding the setbacks that the Project faced, it efficiently developed a number of outputs and outcomes, all of the above with a high chance of engendering impacts, positive effects, and have catalytic influence (both at the local, sub national, national and global scale). It has been effective in prompting further ownership trough governmental institutions participation. What remains is for the country to uptake and adopt the outputs and prompt climate change adaptation planning mechanisms (general, local, sectoral) that have financial backing for their implementation. This is the challenge for future action as well as the opportunities for further joint work between the different stakeholders in BIH and the international community.

LESSONS LEARNED

The lessons presented here are distilled from the findings in order to aid in future interventions. These are not prescriptive, and they are general in nature in order to be applicable in similar contexts, if the parties agree. They are derived from good practices as well as from the challenges and issues this project faced.

- A project with full decision making processes from all parties (donors, implementing entities, etc.) imbedded when it is planned, and certainly when implementation starts, is more transparent and applicable in different contexts. These decisions should be strictly adhered to throughout implementation. Without adherence to commitments (financial, implementation, etc.) a project's flow is averted and even its creditability is eroded.
- Proper consultation with stakeholders with the incorporation of these stakeholders' expressed needs into design derive in projects which are more useful, relevant and where ownership is reinforced. This not only is appropriate for implementation but it is also suitable for creating sustainability factors.
- If financial flows from donor to project are not followed as agreed upon and consistent, this will hinder proper implementation and the intervention's momentum as well as mar its credibility.
- Change of UNDP agreement with GCF on phase approach for the remaining expected funds seriously damages UNDP credibility and its cooperation with partners.
- If communication between different agencies, entities, and national implementing partners is not open, transparent, and fluid, than implementation and trust between the parties will be hindered fulfil expectations.
- If projects do not imbed all expected outputs and components properly upon design in order for an intervention to be successful, equitable and have a sustainable outcome, then it is not altogether likely that these matters will be properly incorporated. Therefore, issues such as gender-equality, demonstration pilots, engagement with other actors besides the ones that traditionally engage in climate change are generally only imbedded in implementation if these are properly inserted at design.
- The linkage of bottom-up and top-down approaches is proper for projects dealing with climate change adaptation. This contributes to having projects that deal with multiple levels of intervention for a matter (i.e. adaptation) that is manifested in multiple planes and that needs to be acted upon in all the necessary levels (local, municipal, national, sub national).
- The integration of climate change planning instruments with financial strategies is appropriate. One without the other is frail. That is, if climate change adaptation tools and plans do not have adequate financial backing they are not applicable. If the mobilization of climate finance is carried out without the proper policy tools that back it, then it will tend to be not utilized in an integrated proper and strategic manner.

RECOMMENDATIONS

The recommendations contained in this document are linked to the findings in this report. They are directed to the users of this report to provide support for the actions to take or decisions to make regarding the concluding period of the NAP Project in BIH as well as for follow up and future programming. Although it is understood that there are only a few months left of implementation of this project, it is still considered useful to generate recommendations to reinforce the work that already is being done and to generate some suggestions which are pertinent with regarding to the closing period and closing activities the Project has underway. The future-looking concepts and recommendations are of two types. In the first place, recommendations that *reinforce* the positive aspects learned from this intervention. On the other hand, recommendations that can be used to *correct difficulties* in future programming that can be associated to what has been learned from this project. In brackets there is a reference to the criteria each of the recommendations presented here refers to and in brackets there is an indication in each section of who the responsible party for the sets of recommendations following would be if there is uptake.

Recommendations for the Project until completion [Responsible Party: Project].

- As much as possible, link to whatever processes can be connected with regarding adoption and approval of policies, plans, strategies to promote institutional sustainability and institutional cooperation as well as to engender financial support and financing strategies to implement these instruments. Work with partners in seeking to adopt supplementary or ancillary normative instruments and planning tools that although not strictly part of the Project are relevant regarding climate change adaptation planning (such as tools for alignment with EU approximation strategy) which can reinforce planning and use drivers for adoption and implementation. *(Sustainability)*
- Attempt to generate processes, repositories, etc., to make sure materials, knowledge management products, documents, and institutional history remains no matter what political and governmental changes occur in the short term. Seeking different ways in which the information and knowledge management products that the Project has generated are not lost after project closure. Pursue having this information in open, user friendly depositories, and even decentralised if possible, in order for this information and knowledge be available in the future, building upon the inclusion of stakeholders that took place during the intervention. If there are remaining resources (resources understood broadly, to be funds, time, technical expertise, etc.) execute communication activities based not only on the communication already generated (such as NAP, studies, knowledge management products) but also to promote adoption and implementation of products and outputs. *(Sustainability)*
- Work on financial sustainability, etc., attempting to harness funds for follow up or aid the different stakeholders and partners in seeking funds for implementation of climate change planning processes in the country at different institutional levels. This should be done building upon the processes the Project implemented already to familiarise stakeholders with the different types of funds and donors that support adaptation. If all parties agree, apply for remnant funds of GCF in order to leverage the funds needed in the immediate horizon to foster implementation of achieved products and enhance sustainability. *(Sustainability)*
- Generate closing activities documents and inform regional and international actors as needed (UNFCCC, GCF, UNDP, etc.). (*Effectiveness*)

Recommendations regarding possible future priority interventions and general recommendations, which could further ensure sustainability of Project's achievements [Responsible Parties: Project, Country Office].

- Attempt to make – up for whatever planned processes and activities could not be carried out due

to the COVID-19 pandemic such as training, study tours, exchanges with other countries and/or exchanges with the European Union and its institutions. If possible, transfer these actions and processes to other ongoing projects and interventions being carried out at the moment as well as in the near future. (*Effectiveness*)

- Generate and/or support follow up activities. The donor community, based on the achievements and ownership displayed by BIH partners within the Project, should plan, generate and support follow up activities to strengthen the accomplishments already made as well as to aid in implementation and sustainability of the achieved processes and products. *(Sustainability)*

  For this, the following specific references are made:

  - Focus and follow up with sectoral processes and plans beginning with the most vulnerable sectors identified in the current project and expanding to other areas as identified or as possible. Focus on specificity of sectors and specific needs and issues. Also, these follow up plans and sectoral activities need to forge ahead on knowledge and concrete data gaps at the sectoral levels. Follow up activities need to further integrate different sectors (different line ministries as well as promote intra-ministerial integration) and different actors (private sector, industry, civil society, and so on) that are negatively affected by climate change and that have a potential to contribute to solutions, seeking institutional multi – stakeholder platforms and decision making processes that interlink the different sectors and areas related to climate change adaptation in an integrated manner.
  - All follow up activities, processes, and products need to fully integrate developmental gender considerations. These should take into account the differential impact of gender upon women as well as the needed actions to work through these issues in an equitable manner.
  - Increased attention for follow up should be upon financial planning to set up backing mechanisms for adaptation component. Sustainable financing mechanisms should also be innovative incorporating elements such as insurance, guarantee funds, loans, etc., for climate finance frameworks and budgeting.
  - Follow up also should be done at the local level, follow up in the four urban areas where the Project piloted activities but also (while learning from the pilot experiences) use the potential catalytic effect and involve more municipalities and cities in different areas of the country. Acknowledging that local communities often have less possibility of funding for climate adaptation than other higher level institutions, a robust funding leverage strategy should be integrated in these processes.

Recommendations regarding possible after-Project priority interventions and general recommendations for future programming in different countries/contexts [Responsible Parties: UNDP, GCF] .

- All parties (donor, implementing entities, country stakeholders) need to have all the needed information and decisions on project implementation before an intervention begins. This cannot be changed in the course of implementation since this affects not only implementation process but also trust in an intervention. *(Efficiency)*
- Disbursements and financial flows need to take place as planned in order to avoid obstructing or stalling implementation, losing implementation momentum as well as foregoing beneficiaries support and ownership. *(Efficiency)*
- All project activities, processes, and products need to fully integrate developmental gender

considerations, from design onward. These should take into account the differential impact of gender upon women as well as the needed actions to work through these issues in an equitable manner. *(Cross cutting issues: gender)*

- The inclusion of bottom up approaches is a good practice and needs to be included in all interventions that act at different institutional levels. This should be done inter linking with other level institutions (such as national and sub national) as much as possible and as feasible within each governance context and including stakeholder institutions in planning to reinforce overall relevance. (*Relevance*)
- Projects need to integrate climate change planning instruments with financial strategies in order to develop and implement tools that have financial support and to generate climate finance strategies that have instrumental policy backing. (*Sustainability*)
- Given that at this point there is (globally) a number of interventions regarding climate change adaptation planning with different agencies (such as GCF, UNDP, UNEP, etc.) in different countries and in different settings, a fluid information exchange platform can be generated in order for the different projects learn from each other, from the lessons learned, achievements and challenges they have faced in the generation and/or implementation of climate change adaptation. (*Effectiveness*)

ANNEXES

ANNEX 1: TERMS OF REFERENCE

I. IDENTIFICATION OF THE POSITION

Job Title:	International Consultant for Final Project Evaluation
Project:	Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina
Supervisor:	Country Office Evaluation Manager
Location:	Bosnia and Herzegovina
Travel requirement:	Yes (depending on Covid pandemic restrictions)
Practice Area:	Resilience and Climate Change
Application deadline:	10/26/2021
Type of Contract:	International
Duration:	November 2021- January 2022 (up to 24 work days)
Presence in the UNDP premises	Home based with travel to BIH (depending on Covid pandemic restrictions)

II. BACKGROUND AND CONTEXT

Bosnia and Herzegovina is a state with a decentralized political and administrative structure. It comprises of two entities: Republika Srpska and Federation of Bosnia and Herzegovina, and Brčko District. Decision making involves the Council of Ministers, two entities (Federation of Bosnia and Herzegovina and Republika Srpska) and Brčko District. Federation of Bosnia and Herzegovina is sub-divided into 10 Cantons, while Republika Srpska has a centralized structure. The entities have a very high degree of autonomy, with their president, parliament, government, and courts. The entities have jurisdiction in the areas of environment, water management, agriculture, forestry, energy, civil administration, health, education, police department, physical planning. Authority at the state level covers foreign policy, defence, border monitoring, foreign trade, fiscal and monetary politics.

As a party to the United Nations Framework Convention on Climate Change (UNFCCC), Bosnia and Herzegovina has undertaken important steps towards understanding and addressing climate change issues. It is increasingly recognized not only by the Government and scientific community, but also by its citizens that climate change is an issue of key strategic importance. Bosnia and Herzegovina has put great emphasis on climate change as one of the most significant development challenges facing the country. The importance of adaptation was clearly reflected in its Second National Communications and Climate Change Adaptation and Low Emission Development Strategy (CCA LEDs), adopted in 2013, which has been currently updated. In 2017, Bosnia and Herzegovina submitted its Intended Nationally Determined Contribution (INDC), as part of the negotiations leading to the historic Paris Agreement, which it signed in April 2016. The NDC has been enhanced, adopted by Bosnia and Herzegovina authorities and submitted to UNFCCC in Apr 2021.

Authorities of Bosnia and Herzegovina and key domestic stakeholders realize the increasing threatposed to them and the development of the country by climate change and the need of adapting to it in order to avoid or minimise negative consequences. The government is motivated to support and implement the national adaptation planning (NAP) process as adaptation issues are becoming very important for the country's further development.

The Bosnia and Herzegovina UNFCCC and GCF focal point, Ministry of Spatial Planning, Civil Engineering and Ecology of Republika Srpska, officially launched the NAP process in 2016. The NAP process began with a national consultation that engaged sector ministries and local government units via associations of cities and municipalities in both entities (Republika Srpska and Federation of Bosnia and Herzegovina).

In 2017, Bosnia and Herzegovina submitted its Third National Communication (TNC) to the Conference of the Parties to the UNFCCC. The TNC provides further update and strengthens information regarding national circumstances, vulnerabilities to climate change, steps taken to adapt to climate change and information on public awareness, education, training, systematic research and observation and technology transfer. Fourth National Communication and Third Biennial Update Report under the UNFCCC has been currently produced and adoption is expected in 2022.

Climate Change Adaptation and Low Emission Development Strategy of Bosnia and Herzegovina is of key importance to the NAP process. The Strategy was adopted by the Bosnia and Herzegovina Council of Ministers on October 8, 2013, and utilized the then available observed and projected climate change impacts on key sectors in the country including agriculture, water, hydropower, human health, forestry, biodiversity/ sensitive ecosystems and tourism. The strategy is based on four specific outcomes covering climate change risks, vulnerabilities and opportunities supporting evidence-based policy development, effective institutional and regulatory framework, mainstreaming CCA approaches into decision making, and effective resourcing with timely and effective implementation. However, its implementation has slowed mainly due to lack of knowledge and institutional capacity to project, attract finances and undertake adaptation measures. The Strategy is revised and is expected to be officially adopted in 2021.

About the Project

Project title	Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina
Atlas ID	001000066
Corporate outcome and output	UNDP Strategic Plan 2018-2021, Outcome 2; Output 2.3.1
Country	Bosnia and Herzegovina
Date Project document signed	8th August, 2018
Project End date	4th April, 2022
Project budget	2,278,920 USD
Project expenditure at the time of evaluation	1,673,552.71 USD
Funding source	Green Climate Fund
Implementing party	UNDP

The Project "Advance the National Adaptation Plan (NAP) process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina" is supported by the Green Climate Fund (GCF) and implemented by UNDP in Bosnia and Herzegovina.

The overall Project's objective is to support the governments of Bosnia and Herzegovina to advance the national adaptation planning process. It works to enable the governments integrate climate change related risks, strategies and opportunities into ongoing development planning and budgeting processes. The Project advances adaptation planning in Bosnia and Herzegovina with a focus on most vulnerable sectors such as water management, agriculture, forestry, human health, biodiversity etc., upgrading the knowledge base for adaptation, prioritizing adaptation interventions for the medium term, building institutional capacities for integrating climate change adaptation and demonstrating innovative ways of financing adaptation at the sub-national/local government level.

The main barriers to change in the area of climate change adaptation addressed by the Project include:

a) Limited institutional capacities and weak vertical and horizontal coordination for adaptation planning and implementation caused by complex administrative structure and top-down approach, limited stakeholders' participation in Bosnia and Herzegovina strategic planning for adaptation, inadequate level of technical knowledge on climate change adaptation of staff in sectoral ministries, limited training on climate change issues and low capacity to monitor, forecast, archive, analyse, communicate, and use climate risks and impacts for sectors.

b) Limited climate Information to support integration of climate change into planning and budgeting due to limited existence of scientific data and information on climate impacts and vulnerability assessments, limited knowledge of current climate variability, and a lack of systematic information on environmental protection.

c) Alternative sources of finance, including innovative funds are not optimized as neither climate change adaptation, nor DRR activities are included in budgeting on any level (municipal, cantonal, entity) and effective finance plan for securing adequate funds from a range of sources for adaptation does not exist.

The Project has worked to overcome these barriers by:

a) **Improving national coordination mechanisms** for multi-sectoral planning and implementation at the national and sub-national levels. Capitalizing on lessons and knowledge gained from successful cross-entity and local development planning and management methodology such as that of the Integrated Local Development Planning Project (ILDP) implemented by UNDP in Bosnia and Herzegovina, this Project supports strengthening of coordination between: i) different levels of government within the country; ii) technical experts; iii) private sector; iv) local communities v) civil society and vi) academia. The Project improves coordination to increase efficiency, ensure vertical connectivity, avoid redundancy and allow Bosnia and Herzegovina to leverage capacity that is present or being supported by other initiatives.

b) **Enhancing in-country knowledge and technical capacity** to a) appropriately apply policy guidance on climate change adaptation planning, and b) use existing climate assessments and analyses to inform medium- to long term adaptation budgeting and planning. The Project supports the government of Bosnia and Herzegovina by i) drawing on lessons from a successful Energy Management Information System (EMIS) developing a management information system with database open to all stakeholders across different levels of government on the NAP process, on-going institutional and technical capacity building, etc., ii) identifying institutional and technical capacity gaps in utilization of climate information, data

collection and analysis, and iii) building capacity of relevant staff to generate and analyse climate and socio-economic data and to select most efficient adaptation solutions.

c) **Establishing a financing framework for climate change adaptation** action in Bosnia and Herzegovina from the bottom-up. The Project supports development of a financing framework at the municipal level, including identification of possible innovative financing solutions for climate change adaptation action. The Project also seeks to i) conduct studies to inform future investments in adaptation across sectors in selected municipalities; ii) identify policy options for scaling up adaptation, including by engaging and incentivizing the private sector in adaptation, in addition to its corporate social responsibility; iii) develop municipal assistance tools for adaptation planning and financing, and iv) provide training of staff to apply the tools in the design of 'bankable' adaptation interventions. By undertaking these interventions, appropriate financing for climate change adaptation action is expected to be met for medium- to long-term planning.

The Outcomes of the Project are:

Outcome 1. Effective national adaptation coordination system established to drive the NAP process Outcome 2. Capacity for climate vulnerability assessments, development of socio-economic scenarios strengthened, and adaptation options prioritized for 2 key sectors

Outcome 3. Innovative financing strategy for adaptation investments developed and tested in 4-5 selected municipalities

The Outputs of the Project are:

Output 1.1 National institutional arrangements to coordinate adaptation processes are in place Output 1.2 Mechanisms for regularly reviewing and updating NAP are in place

Output 1.3 Communication and outreach for NAP process enhanced

Output 2.1 System to gather, organize and update relevant data and information on adaptation established or strengthened

Output 2.2 Capacity gaps and needs for design and implementation of adaptation strengthened

Output 2.3 Available information on climate change impacts, vulnerability and adaptation investments increased or shared in at least 2 priority sectors

Output 3.1 Studies to inform future investments in adaptation across sectors conducted and financing strategy developed

Output 3.2 Policy options for scaling up financing adaptation analyzed and recommended

Output 3.3 Practical methodology for CCA planning and access to finance introduced in selected municipalities

Detailed outline of the Project Result Framework is available in Annex 1 (RV Annex 1 NAP- RRF NAP 05.docx).

Partnerships:

The Project is implemented in partnership with the Ministry of Spatial Planning, Civil Engineering and Ecology of Republika Srpska as the Bosnia and Herzegovina UNFCCC and GCF focal point and the Ministry of Foreign Trade and Economic Relations of Bosnia and Herzegovina as a state level ministry in charge of coordination of CCA activities throughout the country.

In addition to institutions which are part of the Project Board, the Project also closely works with technical

institutes which provide input to the Project implementation (hydro-meteorological institutes, statistics institutes, water agencies, agricultural institutes) and local governments (City of Zenica, Municipality of Laktasi, City of Trebinje and Municipality of Sanski Most) together with associations of cities and municipalities, Republika Srpska and Federation of Bosnia and Herzegovina Environmental Protection Funds, the civil society and others. The coordination among these institutions and government agencies is ensured through the inter-agency working group. UNDP's Global Support Programme on NAPs, in partnership with UNEP, are also involved by providing technical inputs as needed.

*Overview of key stakeholders and partners and their roles in evaluation is provided in Annex 2 (*RV Annex 2 NAP- List of Stakeholders.docx).

Target groups and beneficiaries:

In addition to the GCF focal point – the Ministry of Spatial Planning, Civil Engineering and Ecology of Republika Srpska, which is the key institutional beneficiary, the Project also works with the Ministry of Foreign Trade and Economic Relations of Bosnia and Herzegovina, Ministry of Agriculture, Water- Management and Forestry of Federation of Bosnia and Herzegovina, Ministry of Agriculture, Forestry and Water Resources of Republika Srpska and Ministry of Environment and Tourism of Federation of Bosnia and Herzegovina.

Project's direct and indirect beneficiaries are also the Hydro-meteorological institutes of Republika Srpska and Hydro-meteorological institutes of Federation of Bosnia and Herzegovina, Water Agency of Federation of Bosnia and Herzegovina, Water Agency of Republika Srpska, and local governments (City of Zenica, Municipality of Laktasi, City of Trebinje and Municipality of Sanski Most) Environmental Protection Funds of Republika Srpska and the Federation of Bosnia and Herzegovina

Main achievements:

From the beginning of its implementation the Project has made significant steps towards improvement of the NAP process in Bosnia and Herzegovina, including:

- National institutional mechanisms to coordinate NAP process are well established, and the vulnerability analysis of the most vulnerable sectors and four selected municipalities in Bosnia and Herzegovina's completed.
- Standard Operating Procedures (SOPs) for horizontal and vertical institutional cooperation on climate data exchange among the most vulnerable sectors have been developed as well as an M&E framework.
- A Communication Strategy has also been developed and awareness raised through promotional activities (including a Photo Essay on adaptation activities and potential for actions in cities of Bosnia and Herzegovina (https://www.linkedin.com/posts/green-climate-fund_urban-life-reconsidered-by-undp-climate-on-activity-6747402098083803136-eNZB), which was also shared by GCF).
- The Project supported adjustments to the regulatory framework necessary for successful implementation of climate change adaptation activities in the country and for meeting Bosnia and Herzegovina's obligations to the EU and UNFCCC. This included amendments to the Law on Environment and development of strategic documents related to flood management to achieve alignment with the EU Approximation.
- A study on climate change impacts on the hydro-energy sector in Trebisnjica River Basin was completed and presented to stakeholders, while a study on climate change impacts on the hydro-energy sector in Vrbas River Basin is underway.
- The first draft of National Adaptation Plan document with prioritized adaptation measures in most vulnerable sectors has been developed.

- Trainings to build capacities of government staff for assessment, prioritization and implementation of climate change adaptation actions as well as for development of reporting, monitoring and review mechanisms are also underway.
- Finance mechanisms, tools, and new finance approaches for adaptation finance have been developed in four municipalities (Laktasi, and Zenica) to enhance adaptation investments, and under development in two additional municipalities (Sanski Most, Trebinje).

Covid 19 context:

Starting from March 2020, the Projects' implementation was negatively affected by the global outbreak of the COVID-19 pandemic. The COVID-19 imposed lockdown resulted in temporary halt of the activities in the field, which caused delays in timely completion of some of the activities. The Project has readjusted its activities to the new mode of work and importantly, supported the partners in addressing recovery from and resilience to pandemic.

Due to outbreak of Covid pandemic, and to mitigate the consequential delays suffered, all GCF Projects were granted 6 months Covid extension. In addition to Covid extension, the NAP Project in Bosnia and Herzegovina sought and received another six months no cost extension from the GCF, therefore, the Project's end date is 4th April, 2022.

Project alignment and relevance:

The Project at design was linked to UNDAF for Bosnia and Herzegovina 2015-2020, Outcome 5: By 2019, legal and strategic frameworks enhanced and operationalized to ensure sustainable management of natural, cultural and energy resources. Currently, the Project is linked to the UN Coordination Framework for Bosnia and Herzegovina 2021-2025, Outcome 1. By 2025, people benefit from resilient, inclusive and sustainable growth ensured by the convergence of economic development, and management of environment and cultural resources. The Project contributes to the UNDP Strategic Plan 2017-2021, 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 Project also contributes to the Sustainable Development Goal (SDG) 13: Take urgent action to combat climate change and its impacts.

III. EVALUATION PURPOSE, OBJECTIVES AND SCOPE

a) Purpose

The purpose of this Final Project Evaluation (the Evaluation) is to provide an impartial review of the Project Advance the National Adaptation Plan process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina, in terms of its relevance, effectiveness, efficiency, impact, sustainability, overall performance, implementation and results. The information, findings, lessons learned and recommendations generated by the evaluation will be used by the Project Board, UNDP, Green Climate Fund and other relevant stakeholders to strengthen and inform the remaining Project implementation and inform future programming.

b) Objective

The Evaluation objective is to examine the overall performance of the Project**,** if its inputs and activities led to expected outputs and outcomes, and if and how the delivered outputs contributed to

improved integration of climate change adaptation in the existing national strategies and performance of institutional beneficiaries, enabling change in Bosnia and Herzegovina.

In a substantive analysis of the effectiveness of the Project approach and feedback from beneficiaries and relevant stakeholders, the evaluation should assess cause and effect relations within the Project, identifying the extent to which the observed changes can be attributed to the Project.

In addition, this Evaluation aims to provide forward-looking recommendations to the Green Climate Fund and UNDP on the sustainability of the Project results and the Project's scaling up potentials.

c) Scope

The Evaluation will assess the extent to which the planned Project outcomes and outputs have been achieved since the beginning of the Project on 5th April, 2018 and likelihood for their full achievement by the end of the Project on 4th April, 2022 (based on the Project Document and its results framework). The Evaluation will investigate the overall Project performance and results of the Project, capturing the changes triggered by the Project in the area of Climate Change Adaptation in the country.

To the extent possible, the Evaluation will also consider the results of the Project's contribution

to address the COVID-19 pandemic.

Considering the new Green Climate Fund's Evaluation Policy, the Evaluation will specifically assess the following aspects:

(i) Relevance, effectiveness, efficiency, impact and sustainability of the Project;
(ii) Coherence in climate finance delivery with other multilateral entities;
(iii) Gender equality;
(iv) Country ownership of the Project;
(v) Innovativeness in result areas – the extent to which intervention may lead to paradigm shift towards low-emission and climate-resilient development pathways;
(vi) Replication and scalability – the extent to which the Project activities can be scaled up;
(vii) Unexpected results, both positive and negative.

The Evaluation will look into the Project's processes, strategic partnerships and linkages in the specific country's context that proved critical in producing the intended outputs and the factors that facilitated and/or hindered the progress in achieving the outputs, both in terms of the external environment and risks, crisis caused by the pandemic, as well as internal, including weaknesses in programme design, management and implementation, human resource skills, and resources.

EVALUATION CRITERIA AND KEY QUESTIONS

The Evaluation of the Project **Advance the National Adaptation Plan process for medium-term investment planning in climate sensitive sectors in Bosnia and Herzegovina** will address the following questions, so as to determine the Project's relevance, coherence, effectiveness, efficiency, impact and sustainability, including lessons learned and forward-looking recommendations:

Relevance and coherence

- Were the Project objectives relevant to the needs and priorities of the country, having in mind political, social, legal and institutional context of the country?

- To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives?
- Where the Project's objectives and implementation strategies consistent with global, regional and country's environmental policies and strategies, considering Green Climate Fund and UN/UNDP Strategic Frameworks, EU accession agenda and Agenda 2030?
- Based on an analysis of Project stakeholders, the evaluation should assess the relevance of the Project intervention to key stakeholder groups.
- To what extent are human gender equality and social inclusion mainstreamed within the Project? Has this mainstreaming been relevant to the needs of socially excluded groups and both women and men?
- Were adequate steps taken by the Project to adjust its implementation strategy to the new circumstances and needs imposed by COVID-19 pandemic relevant?
- To what extent has the Project been successful in ensuring complementarity, harmonisation and coordination with other relevant interventions of the governments in BIH and other donors, avoiding duplication of efforts and adding value?

Effectiveness

- To what extent have the intended results been achieved? What are the main Project accomplishments? Overview of the Project progress against the result framework indicators is to be provided in an Annex of the Evaluation Report.
- Briefly explain the reasons behind the success (or failure) of the Project in producing its different outputs and meeting expected quality standards? Were key stakeholders appropriately involved in producing the programmed outputs?
- To what extent and how effectively have the Project specific approach and actions contributed to its outputs and outcomes? If so, why? If not, why not?
- What has been the contribution of partners and other organizations to the outcome, and how effective have the programme partnerships been in contributing to achieving the outcome?
- To what extent has the Project contributed to (i) Country having operational roadmaps and institutions to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (ii) Developing and enabling access for Bosnia and Herzegovina institutions to tools and approaches to support key steps of the National Adaptation Plan (iii) Exchange of lessons and knowledge through institutional cooperation to enhance capacities to formulate and advance the National Adaptation Plan process.
- Has the NAP programme been effective in helping improve climate change adaptation planning in Bosnia and Herzegovina?

Efficiency

- Have resources (financial, human, technical) been allocated strategically and economically to achieve the Project results? Were the Project activities implemented as scheduled and with the planned financial resources? Is the relationship between Project inputs and results achieved appropriate and justifiable?
- To what extent have the target groups and other stakeholders taken an active role in implementing the Project? What modes of participation have taken place? How efficient have

partner institutions been in supporting the Project's implementation?

- Has the communication and outreach of the Project been satisfactory?
- Did the Project have a sound M&E plan to monitor results and track progress towards achieving Project objectives?

Impact

- What is the Project impact in qualitative as well as quantitative terms from a broader development and system building perspective? What would the development have been like without the Project interventions in the area of concern?
- What are the positive or negative, intended or unintended, changes brought about by the Project's interventions?
- What real differences have the Project interventions made to the beneficiaries? How many people have been affected? Have women and men equally benefited from the Project?
- To what extent are key stakeholders/final beneficiaries satisfied with the implementation and results of the Project, specifically in terms of the partnership support and what are specific remaining issues in the area of concern?
- To what extent has the Project elevated cooperation between relevant institutions?
- How have cross-cutting issues, such as gender equality and reaching the most vulnerable, been effectively taken up?
- What is the mid-term and long-term Project influence on climate change adaptation in the country resulting from the NAP policy frameworks?

Sustainability

- To what extent are the achieved outcomes and outputs sustainable? How could Project's results be further sustainably projected and expanded, having in mind the remaining needs? And by which institutions?
- Are there any social or political factors that may influence positively or negatively the sustenance of Project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the Project results to be sustained?
- Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to utilize the tools, approaches and roadmaps in the development of NAPs?
- What are the innovations/ best practices that need to be further build upon?
- Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of human rights and gender led to an increase in the likelihood of sustainability of Project results?
- What mechanisms have been set in place by NAP to support the government of Bosnia and Herzegovina to sustain improvements made through these interventions?

Catalytic role of the Project

- The catalytic role of the Green Climate Fund interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNDP also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this Project, namely to what extent the Project has:

(a) catalysed behavioural changes in terms of use and application, by the relevant stakeholders, of capacities developed;
(b) contributed to institutional changes, for instance institutional uptake of Project demonstrated technologies, practices or management approaches;
(c) contributed to policy changes (on paper and in implementation of policy);
(d) contributed to sustained follow-on financing (catalytic financing) from Governments, private sector, donors etc.;
(e) created opportunities for particular individuals or institutions ("champions") to catalyze change (without which the Project would not have achieved all of its results).

Future-looking concept and recommendations

- What are after-Project possible priority interventions and general recommendations, which could further ensure sustainability of Project's achievements and contribute to accelerated development in Bosnia and Herzegovina, particularly in the context of Agenda 2030?
- What could be possible after-Project priority interventions and general recommendations for the Green Climate Fund and UNDP related to policy influencing, which could further ensure sustainability and scaling up of Project's achievements?

The evaluation needs to assess the degree to which the Project's supported or promoted gender equality, a rights-based approach, and human development. In this regard, United Nations Evaluation Group's guidance on Integrating Human Rights and Gender Equality in Evaluation should be consulted.

IV. METHODOLOGY

Based on the UNDP Evaluation Guidelines, UNEG Norms and Stand for Evaluations and Evaluation Policy for the Green Climate Fund, in consultations with UNDP Country Office, the Evaluation will be participatory, involving relevant stakeholders.

The Evaluation will be conducted by the International Evaluation Consultant (the Evaluator) who will propose an **adjusted evaluative methodology that may be needed to implement the evaluation effectively in the COVID – 19 pandemics circumstances, applying safety guidance and remote data collecting methods such as extended desk reviews, virtual stakeholder meetings and interviews by Evaluators[12].** A detailed plan for the Evaluation process will be proposed by the Evaluator and agreed as a part of the Evaluation Inception Report.

The proposed methodology should employ relevant quantitative, qualitative or combined methods to conduct the Evaluation, with focus on gender sensitive data collection and analytical methods and tools applicable in the concrete case. The Evaluator is expected to combine the standard and other evaluation tools and techniques to ensure maximum reliability of data and validity of the evaluation findings.

Limitations to the chosen approach/methodology and methods shall be made explicit by the Evaluator and the consequences of these limitations discussed in the proposed methodology. The Evaluator shall, to the extent possible, present mitigation measures to address these limitations.

[12] UNDP Evaluation Guidelines: Evaluation During COVID-19.

The Evaluator is expected to carry out the evaluation process with careful consideration of these Terms of References. In cases where sensitive or confidential issues are to be addressed in the evaluation, the Evaluator should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

Standard UNDP evaluation methodology would suggest the following data collecting methods:

- Desk review: The Evaluator will conduct a detailed review of the Project materials and deliverables including but not limited to the Project Document and Addendums, theory of change and results framework, monitoring and Project quality assurance reports, annual workplans, consolidated progress reports etc. *An extensive list of documents for desk review is provided in Annex 3 (*RV Annex 3 NAP - List of documents for review.docx).
- Key informant interviews: Using virtual technological solutions, the Evaluator will remotely interview representatives of UNDP, GCF focal point -Ministry of Spatial Planning, Civil Engineering and Ecology of Republika Srpska; Ministry of Foreign Trade and Economic Relations of Bosnia and Herzegovina, Ministry of Agriculture, Water-Management and Forestry of Federation of Bosnia and Herzegovina, Ministry of Agriculture, Forestry and Water Resources of Republika Srpska and Ministry of Environment and Tourism of Federation of Bosnia and Herzegovina, Government agencies (Hydro Meteo Institutes of the Republika Srpska and Federation of Bosnia and Herzegovina, Environmental Funds of Republika Srpska and Federation of Bosnia and Herzegovina, local level authorities (Sanski most, Zenica, Laktasi, Trebinje), etc. Detailed list of main stakeholders that may be considered for meetings is provided in Annex 2.
- Other methodologies, as appropriate, such as case studies, statistical analysis, social network analysis, etc. online interviews, mobile questionnaires, online surveys, and collaboration platforms (slack or yammer) are recommended to be used to gather data. Stakeholders that are dealing with existing emergencies should be given advance notice.
- Field visits/selected spot checks to collect relevant evidence on the Project's results will be conducted exceptionally, depending on the epidemiological situation related to the COVID-19 pandemic and in compliance with all epidemiological measures effective in the country.

As an integral part of the evaluation report and specifically under the impact criteria, the Evaluator will review the Project' effects and impact on the target groups. In this context and using the online tools, the consultancy is expected to gain insights from both the partners and the beneficiaries.

The expected duration of the assignment is up to 24 work days in the period November 2021-January 2022.

V. EVALUATION TASKS / DELIVERABLES

Following the initial briefing and a detailed desk review, the Evaluator will be responsible for delivering the following products and tasks:

- **Inception Report** (10-15 pages) will be presented before the evaluation starts, showing how each evaluation question will be answered by proposing methods, sources of data and data collection procedures. The Inception Report should elaborate an **evaluation matrix** (*provided in Annex 4* Annex 4 - Evaluation Matrix Template.docx) for the Project and propose a schedule of tasks, activities and evaluation deliverables. The Evaluation Inception Report should follow the structure proposed in the UNDP Evaluation Guidelines, p. 27

- **Evaluation and data collection:** Upon the approval of the Inception Report and the evaluation work plan by the UNDP, the Evaluator is expected to carry out the Evaluation. **Data collecting methodology presented in the Evaluation Inception Report should limit the exposure of any consultant, Project team member, beneficiary or stakeholder to the pandemic,** therefore, strongly recommended is use of remote and virtual methodologies. Field visits and physical spot checks can be undertaken exceptionally, depending on the epidemiological situation and in compliance with epidemiological measures effective in the country.

- **Draft Evaluation Report:** Based on the findings generated through desk review and data collection process, the Evaluator will prepare and submit the Draft Evaluation Report to the UNDP team and key stakeholders for review. **Following the implementation arrangements of the Project, the Evaluation findings, lessons learned and specific recommendations for the Project will be separately presented in distinct sections of the Evaluation Report**. *Structure of the Report is outlined in Annex 5 (*Annex 5 - Report structure.docx*).*

- **Evaluation review process** (and eventual dispute settlement): Comments, questions, suggestions and requests for clarification on the evaluation draft will be submitted to the Evaluator and addressed in the agreed timeframe. The Evaluator should reply to the comments through the **evaluation audit trail document**[16]. If there is disagreement in findings, these should be documented through the evaluation audit trail, while effort should be made to come to an agreement.

- **Evaluation debriefing:** will be held with UNDP, institutions' representatives and other key stakeholders to present main findings and recommendations in an online form (i.e. Skype/Zoom/Microsoft Teams briefing). In addition, short briefings on immediate findings with UNDP senior management will be considered after completion of the initial assessment.

- **Evaluation Report** (maximum 40 pages of the main body) should be logically structured (structure of the Evaluation Report is outlined in Annex 5 (Annex 5 - Report structure.docx) of the Terms of Reference), contain data and evidence-based findings, conclusions, lessons learnt and recommendations, and be presented in a way that makes the information accessible and comprehensible. Finally, based on the evaluation findings and in a distinct report section, the

> ***UNDP Evaluation Guidelines Note:*** *As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. If it is not possible to travel to or within the country for the evaluation then the evaluation team should develop a methodology that takes this into account, conduct of the evaluation virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the Inception report and agreed with the Evaluation Manager.*
>
> *If all or part of the evaluation is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/ computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the evaluation report.*

[16] Template available at http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf, p. 25

Evaluator will provide a **forward-looking actionable recommendations for the Project**, outlining key strategic priorities to be addressed after completion of the Project in terms of policy dialogue and policy influencing by UNDP and the Government of Bosnia and Herzegovina and follow-up activities by the governments and public institutions in Bosnia and Herzegovina.

VI. EVALUATION TIMEFRAME

Deliverable	Anticipated timing	Number of days	Responsible party
Desk review and Inception Report	25 Nov, 2021	5	Evaluator
Field data collection/[17]	05 Dec, 2021	7	Evaluator
Evaluation debriefing/presentation	15 Dec, 2021	1	Evaluator
Draft Evaluation Report	20 Dec, 2021	5	Evaluator
Report review	22 Dec, 2021	0	Evaluation Reference Group[18]
Final Report	10 Jan, 2022	6	Evaluator

In line with the UNDP's financial regulations, when determined by the Country Office and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the evaluation, that deliverable or service will not be paid. Due to the current COVID- 19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

VII. EVALUATION TEAM COMPOSITION AND REQUIRED COMPETENCIES

The evaluation will be conducted by the International Evaluation Consultant who will design and implement the evaluation process in line with these Terms of References.

The Evaluator is expected to provide an independent and substantiated review of the Project achievements; capture underperformance; assess partnership strategy; capture feedback from beneficiaries of assistance provided by the Project, produce the Evaluation Report in light of development results; and provide strategic forward-looking recommendations, outlining pathways for the period beyond this Project phase.

Competencies

Core values

[17] Depending on covid restrictions

[18] UNDP Evaluation Manager, UNDP EE Sector Leader, UNDP Project manager

- Demonstrates integrity and fairness by modelling UN values and ethical standards;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

Core competencies

- Demonstrates professional competence to meet responsibilities and post requirements and is conscientious and efficient in meeting commitments, observing deadlines and achieving results;
- Results-Orientation: Plans and produces quality results to meet established goals, generates innovative, practical solutions to challenging situations;
- Communication: Excellent communication skills, including the ability to convey complex concepts and recommendations, both orally and in writing, in a clear and persuasive style tailored to match different audiences;
- Team work: Ability to interact, establish and maintain effective working relations with a culturally diverse team;
- Client orientation: Ability to establish and maintain productive partnerships with national partners and stakeholders and pro-activeness in identifying of beneficiaries and partners' needs and matching them to appropriate solutions.

Required qualifications for the Evaluation Consultant

- Qualifications/Education
  - Minimum Master's degree in natural resource management/ environmental management/ business/ public administration other related disciplines;
- Experience
  - Minimum 7 years of relevant professional experience.
  - Knowledge of UNDP and GCF/GCF monitoring and evaluation policies and guidelines,
  - Experience working in or closely with UN agencies, especially UNDP is preferred;
  - Sound knowledge of results-based management systems, and monitoring and evaluation methodologies;
  - Understanding of issues related to climate change adaptation
- Languages Requirements
  - Fluency in English language; knowledge of local languages of BIH will be taken as asset.
- Other
  - A deep understanding of the development context in BIH and preferably understanding of climate change/natural resource management issues within the BIH context;
  - Understanding and knowledge of the political and administrative context in Bosnia and Herzegovina is an asset.

VIII. EVALUATION ETHICS

This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The Evaluator shall safeguard the rights and confidentiality of information

providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The Evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and partners. The Evaluator must be free from any conflict of interest related to this evaluation.[19]

IX. IMPLEMENTATION ARRANGEMENTS AND REPORTING RELATIONS

The Evaluator will report to the Evaluation Manager appointed by UNDP, who will oversee and support the overall evaluation process. In addition, an evaluation reference group will be formed to provide critical and objective inputs throughout the evaluation process to strengthen the quality of the evaluation. The Country Office Senior Management will take responsibility for the approval of the evaluation report. UNDP will support the implementation of remote/ virtual meetings. An updated stakeholder list with contact details (phone and email) will be provided by the Country Office to the evaluation team.

X. TOR ANNEXES

Annex 1. Project Logical Framework and Theory of Change RV Annex 1 NAP- RRF NAP 05.docx Annex 2. List of the main stakeholders and their roles in evaluation RV Annex 2 NAP- List of Stakeholders.docx

Annex 3. List of documents to be considered for the evaluation desk review RV Annex 3 NAP - List of documents for review.docx

Annex 4. Required Evaluation Matrix Template Annex 4 - Evaluation Matrix Template.docx

Annex 5. Standard outline for an evaluation report Annex 5 - Report structure.docx

Annex 6. Code of Conduct (Annex 6 - Code of conduct.docx)

Annex 7. Link to UNDP Evaluation Guidelines and Evaluation Quality Assessment Process (http://web.undp.org/evaluation/guidance.shtml#handbook)

[19] UNDP Evaluation Guidelines, Box 7. Sources of conflict of interest in evaluation

ANNEX 2: EVALUATION MATRIX

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods for Data Analysis
Relevance and coherence	How relevant is the project with regard to national policies, and corporate mandates? What level of coherence is there vis-à-vis other interventions at the national level in the same field?	Were the Project objectives relevant to the needs and priorities of the country, having in mind political, social, legal and institutional context of the country? To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives? Where the Project's objectives and implementation strategies consistent with global, regional and country's environmental policies and strategies, considering Green Climate Fund and UN/UNDP Strategic Frameworks, EU accession agenda and Agenda 2030? Based on an analysis of Project stakeholders, the evaluation should assess the relevance of the Project intervention to key stakeholder groups. To what extent are human gender equality and social inclusion mainstreamed within the Project? Has this mainstreaming been relevant to the needs of socially excluded groups and both women and men? Were adequate steps taken by the Project to adjust its implementation strategy to the new circumstances and needs imposed by COVID-19 pandemic relevant? To what extent has the Project been successful in ensuring complementarity, harmonisation and coordination with other relevant interventions of the governments in BIH and other donors, avoiding duplication of efforts and adding value? How cohesively and coherently have the different ministries and levels of government within BIH worked together to address CC adaptation within the framework of the project?	Project document Other project planning documents Monitoring reports	Desk review of documents	Coherence of priorities and needs of Bosnia and Herzegovina included in project design Alignment with national development priorities and with UNDP /GCF corporate mandates and EU accession agenda and directives. Breakdown of indicators by gender and human rights issues (including SDGs) Complementarity as indicated in design and implementation reporting.	Document analysis

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods for Data Analysis
Effectiveness	To what extent have the expected outcomes and objectives of the project been achieved?	To what extent have the intended results been achieved? What are the main Project accomplishments? Overview of the Project progress against the result framework indicators is to be provided in an Annex of the Evaluation Report. Briefly explain the reasons behind the success (or failure) of the Project in producing its different outputs and meeting expected quality standards? Were key stakeholders appropriately involved in producing the programmed outputs? To what extent and how effectively have the Project specific approach and actions contributed to its outputs and outcomes? If so, why? If not, why not? What has been the contribution of partners and other organizations to the outcome, and how effective have the programme partnerships been in contributing to achieving the outcome? To what extent has the Project contributed to (i) Country having operational roadmaps and institutions to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (ii) Developing and enabling access for Bosnia and Herzegovina institutions to tools and approaches to support key steps of the National Adaptation Plan (iii) Exchange of lessons and knowledge through institutional cooperation to enhance capacities to formulate and advance the National Adaptation Plan process. Has the NAP programme been effective in helping improve climate change adaptation planning in BIH?	Monitoring reports Stakeholders	Desk review of documents Individual semi-structured interview and/or focus group discussion	Key achievements Hindering factors for achievements Factors aiding achievements. Adaptation to pandemic-related modality of implementation and its limitations Assessment by key project stakeholders	Document analysis Quantitative analysis by using logical framework and related indicators as benchmarks to tally project progress in implementation. Qualitative analysis applied to the information harnessed by interviews using thematic analysis of responses Validation and triangulation

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods for Data Analysis
Efficiency	Was the project implemented efficiently, in-line with international and national norms and standards?	Have resources (financial, human, technical) been allocated strategically and economically to achieve the Project results? Were the Project activities implemented as scheduled and with the planned financial resources? Is the relationship between Project inputs and results achieved appropriate and justifiable? To what extent have the target groups and other stakeholders taken an active role in implementing the Project? What modes of participation have taken place? How efficient have partner institutions been in supporting the Project's implementation? Has the communication and outreach of the Project been satisfactory? Did the Project have a sound M&E plan to monitor results and track progress towards achieving Project objectives?	Project Document Monitoring Reports Financial Reporting Auditing reports Stakeholders	Desk review of documents Individual semi-structured interview and/or focus group discussion	Document content regarding governance structure reporting, minutes, etc. Content in donor reporting documents Adaptive management Content in financial and budget allocation documents Key stakeholder assessments Documented changes effected in the project document/ work plans/ management arrangements in response to challenges Project planning instruments allocate resources efficiently	Document analysis Quantitative analysis by using logical framework and related indicators as benchmarks to tally project progress in implementation. Qualitative analysis applied to the information harnessed by interviews using thematic analysis of responses Validation and triangulation

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods for Data Analysis
Impact	What have been the actual effects and impacts that the project has had in BIH?	What is the Project impact in qualitative as well as quantitative terms from a broader development and system building perspective? What would the development have been like without the Project interventions in the area of concern? What are the positive or negative, intended or unintended, changes brought about by the Project's interventions? What real differences have the Project interventions made tothe beneficiaries? How many people have been affected? Have women and men equally benefited from the Project? To what extent are key stakeholders/final beneficiaries satisfied with the implementation and results of the Project, specifically in terms of the partnership support and whatare specific remaining issues in the area of concern? To what extent has the Project elevated cooperation between relevant institutions? How have cross-cutting issues, such as gender equality and reaching the most vulnerable, been effectively taken up? What is the mid-term and long-term Project influence on climate change adaptation in the country resulting from the NAP policy frameworks?	Stakeholders	Interviews	Qualitative perception of stakeholders Change indicators	Qualitative analysis applied to the information harnessed by interviews using thematic analysis of responses

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods Data Analy
Catalytic role of the Project	What has been the catalytic role of the Project?	(a) The catalytic role of the Green Climate Fund interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNDP also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this Project, namely to what extent the Project has: (b) catalysed behavioural changes in terms of use and application, by the relevant stakeholders, of capacities developed; (c) contributed to institutional changes, for instance institutional uptake of Project demonstrated technologies, practices or management approaches; (d) contributed to policy changes (on paper and in implementation of policy); (e) contributed to sustained follow-on financing (catalytic financing) from Governments, private sector, donors etc.; (f) created opportunities for particular individuals or institutions ("champions") to catalyse change (without which the Project would not have achieved all of its results).	Stakeholders Reporting documents	Interviews Desk review	Uptake of project outputs into nationally approved plans and policies Indicators that there is upscaling or replication	Document analysis Thematic analysis interviews

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods for Data Analysis
Future-looking concept and recommendations	What can be recommended for follow up and/or future programming?	What are after-Project possible priority interventions and general recommendations, which could further ensure sustainability of Project's achievements and contribute to accelerated development in Bosnia and Herzegovina, particularly in the context of Agenda 2030? What could be possible after-Project priority interventions and general recommendations for the Green Climate Fund and UNDP related to policy influencing, which could further ensure sustainability and scaling up of Project's achievements?	Stakeholders	Interviews	N/A	Thematic analysis of interviews

ANNEX 3: LIST OF STAKEHOLDERS WITH WHOM THE EVALUATION ENGAGED

Ministry for Spatial Planning, Construction and Environment of Republika Srpska	Svjetlana Radusin Ozren Laganin
Environmental Fund of the Federation of Bosnia and Herzegovina	Tatjana Kapetanovic
Environmental Protection and Energy Efficiency Fund of Republic of Srpska	Zoran Lukac
Ministry of Agriculture, Forestry and Water Management of Republika Srpska	Milan Gavrić Marinko Vranić
Ministry of Agriculture, Water Management and Forestry of Federation of Bosnia and Herzegovina	Suad Skejovic
Ministry of Foreign Trade and Economic Relations Federation of Bosnia and Herzegovina	Senad Oprasic
Ministry of Tourism and Environment of Federation of Bosnia and Herzegovina	Zineta Mujakovic
Municipality of Laktasi	Goran Vujakovic Darko Adzaip Milan Vujakovic
City of Zenica	Jakuta Imsirovic
Municipality Sanski Most	Faris Hasanbegovic
City of Trebinje	Natasa Tucic
NAP Project Team	Sladjana Bundalo Goran Bosankic Jovanka Cetkovic
Sava Water Agency	Emir Isakovic Salih Krnjic
UNDP	Stephen Kinloch-Pichat Raduska Cupac Amra Zorlak Prakash Bista
Vode Srpske Water Agency, Republic of Srpska	Jelena Vicanovic

ANNEX 4: LIST OF OUTPUT INDICATORS

OUTCOMES	BASELINE	ACHIEVED INDICATOR
1. Effective national adaptation coordination system established to drive the NAP process		
1.1 National institutional arrangements to coordinate adaptation processes are in place *INDICATOR:* # of meetings of inter-agency working group # of recommendations for amendments Standard Operating Procedures *SOURCE OF VERIFICATIONS* Meeting minutes Documents	*No effective coordination mechanism on climate change* *No existing capacity assessments for climate change integration* *Ineffective regulatory frameworks to advance NAP*	*Multi-sectoral inter-agency coordination mechanism established* *Capacity gaps assessed and recommendations made for capacity building plan* *Recommendations for amendment of existing laws and regulations* *INDICATORS* *-6 meetings of interagency work group* *-adopted recommendations for amendments of 6 laws and by laws* *- Developed Standard operating procedures for the mechanism of coordination and horizontal and vertical exchange of CCA indicators in Bosnia and Herzegovina*
1.2 Mechanisms for regularly reviewing and updating NAP are in place *INDICATOR:* # workshops completed Technical guidelines *SOURCE OF VERIFICATIONS* Workshop minutes Documents	*M&E of climate change done on ad-hoc, donor driven processes* *Lack of available gender disaggregated assessments on CC*	*M&E framework and guidelines produced to track adaptation* *Gender-sensitive indicators developed and stakeholders trained* *INDICATORS* *-Technical guidelines completed, 7 workshops organized*
1.3 Communication and outreach for NAP process enhanced *INDICATOR:* # males and females made aware of climate threats NAP *SOURCE OF VERIFICATIONS* *Communication coverage* *NAP document*	*No communication strategy for CCA* *Low awareness of adaptation concerns*	*Communication strategy for CCA developed and promoted* *Awareness raised through promotional activities* *NAP disseminated in country* *INDICATORS* *-123 posts on social media +171 news/articles published* *-NAP document developed and shared*

2. Capacity for climate vulnerability assessments, development of socio-economic scenarios strengthened and adaptation options prioritized for 2 key sectors		
2.1 System to gather, organize and update relevant data and information on adaptation established or strengthened *INDICATOR:* *# males and females beneficiaries of climate information (direct and indirect)* *# of workshops* *SOURCE OF VERIFICATIONS* *Workshop minutes* *Survey*	*No unified or central system for climate relevant data*	*A centralised system for climate data management developed and staff trained* *INDICATOR:* - *System is under development* - *2 workshops planned*
2.2 Capacity gaps and needs for design and implementation of adaptation strengthened *INDICATOR:* *# institutions and professionals (males and females) covered by capacity building plan* *# of workshops* *SOURCE OF VERIFICATIONS* *Capacity development plan document* *Workshop minutes*	*Limited capacity on assessment, prioritization and implementation of adaptation*	*Capacity of government staff strengthened for assessment, prioritization and implementation of adaptation* *INDICATOR* *-12 institutions and 645 professionals (298M, 347F) participated* *-20 workshops on assessment, prioritization and implementation of adaptation organized*
2.3 Available information on climate change impacts, vulnerability and adaptation investments increased or shared in at least 2 priority sectors *INDICATOR:* *adaptation options prioritized for 2 key sectors* *SOURCE OF VERIFICATIONS* *Reports*	*Limited and scattered information on impacts, vulnerability and adaptation*	*Existing information reviewed and complemented with additional assessments for 2 sectors* *Adaptation options prioritized for the 2 sectors* *INDICATOR* -adaptation options prioritized in 2 key sectors (agriculture and water management) and for additional 5 vulnerable sectors (hydro energy, health, tourism, biodiversity, forestry)
3. Innovative financing strategy for adaptation investments developed and tested in 4-5 selected municipalities		
3.1 Studies to inform future investments in adaptation across sectors conducted and financing strategy developed	*Limited or no non-government investment in local level adaptation interventions*	*Sources of finance (budgetary and extra-budgetary) analysed, identified and 2 suitable concepts developed*

INDICATOR: *Financing strategy* *# Concept proposals developed* *SOURCE OF VERIFICATIONS* *Documents*		*INDICATOR* *-Financing strategy developed for 4 municipalities +State level Strategy* *-4 Project Concept Notes developed*
3.2 Policy options for scaling up financing adaptation analysed and recommended	*Insufficient information on types of market barriers related to subnational finance and effective mitigation* *Lack of effective approaches for linking municipalities with market financing* *Lack of practical tools for strengthening municipal capacity in planning and access to CCA finance*	*Market assessment conducted and feasible opportunities recognized and agreed* *Financing approach for municipal access to CCA finance defined and accepted for NAP framework.* *Effective tools adopted for NAP under NAP framework*
3.3 Practical methodology for CCA planning and access to finance introduced in selected municipalities *INDICATOR za 3.2. i 3.3.:* *# financing proposal adopted* *SOURCE OF VERIFICATIONS* *Documents*	*CCA not included in municipal budget planning, external finances not considered to date for adaptation*	*Innovative tools and methods for CCA financing tested in 4 municipalities and capacity of local stakeholders built (345 municipal representatives trained, 187M, and 158F)* *INDICATOR* *-4 financing proposals adopted by municipalities*

ANNEX 5: LIST OF CONSULTED DOCUMENTS AND INFORMATION SOURCES

- GCF. Readiness and Preparatory Support Programme Guidebook. A practical guide on how to prepare readiness proposals for the Green Climate Fund. March 2020.
- GCF/UNDP. Bosnia and Herzegovina National Adaptation Plan – NAP with proposed measures. September 2021.
- GCF/UNDP. Bosnia and Herzegovina National Adaptation Plan – NAP with proposed measures. Annex 1: CONCEPTUAL FRAMEWORK FOR MONITORING AND EVALUATING CLIMATE CHANGE ADAPTATION INDICATORS. September 2021.
- GCF/UNDP. Bosnia and Herzegovina National Adaptation Plan – NAP with proposed measures. Annex 2: TECHNICAL GUIDELINES FOR MONITORING & EVALUATION AND CAPACITY BUILDING PLAN. September 2021.
- GoBIH. Nationally Determined Contributions of Bosnia and Herzegovina (NDC) for the period 2020-2030.
- https://www.adaptation-undp.org/
- https://www.greenclimate.fund/readiness
- https://www.youtube.com/watch?v=Clv_i_1U72
- Independent Evaluation Office. *UNDP Evaluation Guidelines.* June 2021.
- NAP BULLETIN. December 2020.
- NAP BULLETIN. December 2021.
- NAP Project. Climate Finance Analysis. 2021
- OECD/DAC. Network on Development Evaluation. Better Criteria for Better Evaluation. Revised Evaluation Criteria Definitions and Principles for Use. February 2020.
- Readiness and Preparatory Support. Budget and Expenditure Report. 1 July 2021 to 31 December 2021.
- Readiness and Preparatory Support. Interim Progress Report. 01.07 – 31.12 2020.
- Readiness and Preparatory Support. Interim Progress Report. July – December 2021.
- UNDP. Climate change adaptation financing strategy at municipal level. 2021
- UNDP. Development of climate change adaptation financial frameworks, project concept notes and finance strategy at municipal level. Innovative financing strategy for climate change adaptation investments at municipal level. October 2021.
- UNDP. Climate Promise Progress Report. April 2021.
- UNDP. Standard Operating Procedures For The Mechanism Of Coordination And Horizontal And Vertical Exchange Of CCA Indicators In Bosnia And Herzegovina. December 2020.
- UNDP/UNEP/GEF. National Adaptation Plans in focus: Lessons from Bosnia and Herzegovina. 2018.
- UNFCCC. NATIONAL ADAPTATION PLANS. Technical guidelines for the national adaptation plan process. December 2012.
- www.climatepromise.undp.org

ANNEX 6: UNITED NATIONS EVALUATION GROUP CODE OF CONDUCT FOR EVALUATION IN THE UN SYSTEM EVALUATION CONSULTANTS AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form[20]

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

Consultant: Maria ONESTINI

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

Signed at *Buenos Aires, Argentina on December 6 2021*

Signature: 

[20] www.unevaluation.org/unegcodeofconduct