

**Terminal Evaluation of the UNEP/UNDP/GEF Project  
“Building Capacity for LDCs to participate effectively  
in intergovernmental climate change processes.”  
GEF ID 1215 (2015-2020)**



**Evaluation Office of the United Nations Environment  
Programme**

**Distributed: June 2022**



**Photos Credits:**

Front cover: UN Photo/Rick Bajornas

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

For further information on this report, please contact:

**Evaluation Office of UNEP**

P. O. Box 30552-00100 GPO

Nairobi Kenya

Tel: (254-20) 762 3389

Email: [unep-evaluation-director@un.org](mailto:unep-evaluation-director@un.org)

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

Building Capacity for LDCs to participate effectively in intergovernmental climate change processes

UNEP/UNDP/GEF ID 1215

02/22

All rights reserved.

© 2022 UN Environment Programme

## **ACKNOWLEDGEMENTS**

This Terminal Evaluation was prepared for UNEP by Gonalo Cavalheiro, as an independent consultant.

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

The evaluator would like to thank the project team and stakeholders – partners and beneficiaries - for their contribution and collaboration throughout the evaluation process. Sincere appreciation is also expressed to colleagues who took time to provide comments to the draft report.

The evaluation consultant hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

## **BRIEF CONSULTANT BIOGRAPHY**

Gonalo Cavalheiro is a specialist on climate change policy. He has more than 20 years of experience in the provision of technical and policy support to governments and administrations across the world, including in Least Developed Countries. He has participated either as a national delegate or observer in more than 15 Conferences of the Parties of the United Nations Framework Convention on Climate Change.

Gonalo Cavalheiro is also an experienced evaluator, having participated in the terminal evaluation of several UNEP/UNDP/GEF projects.

### **Evaluation team**

**Gonalo Cavalheiro – Evaluator**

### **Evaluation Office of UNEP**

**Neeral Jayendra Shah / Cecilia Morales / Michael Spilsbury – Evaluation Manager**

**Mercy Mwangi – Evaluation Programme Assistant**

## ABOUT THE EVALUATION

**Joint Evaluation:** Yes

**Report Language(s):** English.

**Evaluation Type:** Terminal Evaluation – Inception Report

**Brief Description:** This is the final report of the Terminal Evaluation of a UNEP/UNDP/GEF “Building Capacity for LDCs to participate effectively in intergovernmental climate change processes” project implemented between 2015 and 2020.

The project’s overall development goal was to “support LDCs to effectively engage in and implement the outcomes of intergovernmental climate change negotiations”; and its objective was to “strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts.”

The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, UNDP, and the relevant agencies of the project participating countries.

**Key words:** LDCs; Least Developed Countries; Least Developed Country Group; Climate Change; United Nations Framework Convention on Climate Change; Paris Agreement; International Negotiations; Governance; Capacity Building; Preparedness; Implementation; Mitigation; Adaptation; Resilience.

**Primary data collection period:**

November 2021-February 2022

**Field mission dates:**

N/A

## TABLE OF CONTENTS

<b>ACKNOWLEDGEMENTS .....</b>	<b>3</b>
<b>ABOUT THE EVALUATION .....</b>	<b>4</b>
<b>TABLE OF CONTENTS.....</b>	<b>5</b>
<b>LIST OF ACRONYMS .....</b>	<b>6</b>
<b>PROJECT IDENTIFICATION .....</b>	<b>7</b>
<b>EXECUTIVE SUMMARY .....</b>	<b>9</b>
<b>I. INTRODUCTION .....</b>	<b>15</b>
A. Purpose and scope of the evaluation .....	15
B. Institutional context of the project.....	15
<b>II. EVALUATION METHODS .....</b>	<b>18</b>
<b>III. THE PROJECT .....</b>	<b>20</b>
A. Context.....	20
B. Results Framework .....	21
C. Stakeholders .....	22
D. Project implementation structure and partners.....	24
E. Changes in design during implementation .....	25
F. Project financing .....	25
<b>IV. THEORY OF CHANGE AT EVALUATION .....</b>	<b>27</b>
<b>V. EVALUATION FINDINGS .....</b>	<b>34</b>
A. Strategic Relevance.....	34
B. Quality of Project Design .....	38
C. Nature of the External Context.....	41
D. Effectiveness.....	41
E. Financial Management .....	51
F. Efficiency.....	56
G. Monitoring and Reporting .....	57
H. Sustainability.....	58
I. Factors Affecting Performance and Cross-Cutting Issues .....	60
<b>VI. CONCLUSIONS AND RECOMMENDATIONS .....</b>	<b>62</b>
A. Conclusions .....	62
B. Summary of project findings and ratings.....	63
C. Lessons learned.....	67
D. Recommendations .....	68
<b>ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS .....</b>	<b>73</b>
<b>ANNEX II. PEOPLE CONSULTED DURING THE EVALUATION.....</b>	<b>76</b>
<b>ANNEX III. KEY DOCUMENTS CONSULTED .....</b>	<b>77</b>
<b>ANNEX IV. BRIEF CV OF THE EVALUATOR.....</b>	<b>82</b>
<b>ANNEX V. EVALUATION TORS (WITHOUT ANNEXES) .....</b>	<b>84</b>
<b>ANNEX VI. QUALITY ASSESSMENT OF THE EVALUATION REPORT .....</b>	<b>107</b>

## LIST OF ACRONYMS

CDM	Clean Development Mechanism
COP	Conference of the Parties
GEF	Global Environment Facility
GSP	Global Support Programme
HAC	High Ambition Coalition
LDC	Least Developed Countries
LEG	Least Developed Countries Expert Group
MTR	Mid Term Review
MTS	Medium Term Strategy
NAP	National Action Plan
NGO	Non-Governmental Organisation
PoW	Programme of Work
PRC	Project Review Committee
ProDoc	Project Document
REDD+	Reduced Emissions from Deforestation and Land Degradation
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

## PROJECT IDENTIFICATION

**Table 1: Project Identification Table**

UNEP [UNDP] PIMS ID:	1215 [5319]		
GEF ID	5615		
Implementing Partners	UNEP Ecosystems Division and UNDP Regional Office for Asia and the Pacific		
Relevant SDG(s):	SDG 13, in particular to performance against indicators 13.3 “Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning” and 13.b “Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities.		
Sub-programme:	UNEP: Climate Change	Expected Accomplishment(s):	(a) Countries increasingly advance their national adaptation plans which integrate ecosystem-based adaptation  (ii) Increase in the number of countries that have technical capacity to integrate ecosystem-based management into national adaptation plans
GEF Approval Date	7 August 2014		
UNEP / UNDP approval date:	13 January 2015 / 23 October 2014	Programme of Work Output(s):	UNEP: 2012-2013
Expected start date:	1 October 2014	Actual start date:	1 October 2014
Planned completion date:	31 May 2017	Actual operational completion date:	UNEP: 31 December 2020 <sup>1</sup>  UNDP: December 2018
Planned project budget at approval:	UNEP LDCF budget: USD 2,000,000 UNDP LDCF budget: USD2,000,000 Co-financing: USD 15,232,380 Total: 19,232,380	Actual total expenditures reported as of December 2019:	UNEP LDCF budget: USD 1,900,004 UNDP LDCF budget: USD 1,999,996 Co-financing: 21,162,826 Total: USD 25,062 826

<sup>1</sup> 5th<sup>th</sup> Board Meeting, 28 February 2020

Planned Environment Fund allocation:	USD4,000,000	Actual Environment Fund expenditures reported as of December 2019:	UNEP: USD 1,900,004 UNDP: USD 1,999,996	
Planned Extra-Budgetary Financing:	USD 15,232,380	Secured Extra-Budgetary Financing:	USD 21,162,826	
		Actual Extra-Budgetary Financing expenditures reported as of June 30 2020:	USD 21,162,826	
First disbursement:	30 December 2014 / 2 February 2015 <sup>2</sup>	Planned date of financial closure:	Q4 2020	
No. of formal project revisions:	1	Date of last approved project revision:	Project Board meeting on 28/02/2020	
No. of Steering Committee meetings:	5	Date of last/next Steering Committee meeting:	Last: 28 February 2020	Next:
Mid-term Review/ Evaluation (planned date):	Q2 2018	Mid-term Review/ Evaluation (actual date):	February/May 2018	
Terminal Evaluation (planned date):	Q4 2019	Terminal Evaluation (actual date):	Q1 2022	
Coverage - Country(ies):	All 47 Least developed country Parties to the UNFCCC (LDCs)  Uganda, Sudan, Cambodia, Senegal, Kiribati, Tuvalu, Haiti, Benin, Bhutan, Nepal, Timor Leste, Myanmar, Lesotho, Liberia, South Sudan, Yemen, and Malawi	Coverage - Region(s):	Africa, the Caribbean, Asia and the Pacific	
Dates of previous project phases:	-	Status of future project phases:	-	

<sup>2</sup> ToR and 2019-2020 PIR have different information



## EXECUTIVE SUMMARY

### Project background

1. At the time of the project design (2011), 48 countries were categorized as Least Developed based on their gross national income, weak human assets and economic vulnerability. According to the International Panel on Climate Change (IPCC)'s Fifth Assessment Report (AR5), the effects of climate change and variability further exacerbate the socio-economic and environmental problems that Least Developed Countries (LDCs) already face.
2. The discussion and **decisions at the United Nations Framework Convention on Climate Change have considerable implications for the development of LDCs**, both in terms of mitigation (emissions reductions) and of adaptation (increased resilience to impacts of climate change).
3. The project UNEP/UNDP/GEF ID 5615 **"Building Capacity for LDCs to participate effectively in intergovernmental climate change processes"** (hereafter referred to as "the project") has been implemented between October 1<sup>st</sup> 2014 and December 31<sup>st</sup> 2020 by the UNEP Ecosystems Division / UNEP Regional Office for Asia and the Pacific and the UNDP Asia Pacific Regional Centre, with a total secured budget of USD 19,232,380 (including co-financing).
4. The objective of the project was to *"strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts."*

### This evaluation

5. In line with the UNEP Evaluation Policy<sup>3</sup>, UNEP Programme Manual<sup>4</sup>, UNDP Evaluation Guidelines<sup>5</sup> and the Guidance for Terminal Evaluations of UNDP-supported GEF-financed Projects<sup>6</sup>, the **Terminal Evaluation** is undertaken at completion of the project to **assess project performance** (in terms of relevance, effectiveness and efficiency), and **determine outcomes and impacts** (actual and potential) stemming from the project, including their **sustainability**.
6. The primary data collection phase for this evaluation was November 2021 to February 2022. All interviews were done online.

### Key findings

7. The project was well aligned with UNEP, UNDP and GEF strategic priorities and addressed a key challenge of the beneficiaries: LDC Group's capacity to influence the outcome of the climate change negotiations has been thus far contingent to support received from the international community. While enhanced capacity is discernible in

---

<sup>3</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>4</sup> <https://wecollaborate.unep.org>

<sup>5</sup> <http://web.undp.org/evaluation/guideline/index.shtml>

<sup>6</sup> [http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

several LDCs and, specifically at the level of the LDC Group, still today, after the successful implementation of this project, the need for continued support remains.

8. The project has been very successful at identifying and making best use of synergies with other initiatives, which played an important role in the efficiency and effectiveness of the project implementation, including in relation to the likelihood of achieving outcomes and impact.
9. During the terminal evaluation it was possible to determine that all activities were concluded and that all outputs were delivered and that these contributed directly to the achievement or the likelihood of the achievement of the outcomes. While challenging, the project implementation context was favourable. In these circumstances, the greatest challenges were found in relation to the implementation of output 2.2, which constituted the provision of support to select countries for the establishment of national systems and procedures. The level of resources allocated to this activity and its inclusion in a project of a regional/global nature proved not to be the most effective approach to building capacity at country level.
10. It seems evident that the project outcomes have, to a great extent, already been achieved and/or are likely to be achieved in the short term. The same assessment is made both for the Intermediate State and Impact. This is supported by the findings related to sustainability, which is assessed likely and is attributable, to a great extent, to the effectiveness of project implementation and the commendable complementarity and synergies with other initiatives.

## Conclusions

11. Based on the findings of this evaluation, it is **evident that the capacity of the LDC group to effectively participate in the intergovernmental climate change negotiations has been strengthened**. As such, the project demonstrates performance at the 'Satisfactory' level.
12. The project has demonstrated strong performance in the areas of Strategic Relevance and Effectiveness Areas that would benefit/would have benefited from further attention are financial management, notably on what the readily availability of financial information at the project level, rather than at agency level, is concerned.

**Table 2 – Summary of project findings and ratings**

Criterion	Summary assessment	Rating
<b>Strategic Relevance</b>		<b>Highly satisfactory</b>
1. Alignment to UNEP MTS, POW and strategic priorities	The project is fully aligned with UNEP MTS, POW and Strategic Priorities: "strengthen the ability of countries to integrate climate change responses into national development processes."	Highly satisfactory
2. Alignment to UNEP/Donor strategic priorities	The project is aligned with the COP request to the GEF to support the elements of the LDC Work Programme.	Highly satisfactory

Criterion	Summary assessment	Rating
3. Relevance to global, regional, sub-regional and national environmental priorities	LDCs are among the most vulnerable to CC impacts. Their effective participation in the negotiations and enhanced capacity to implement UNFCCC decision are key to the achievement of global goals.	Satisfactory
4. Complementarity with existing interventions / Coherence	One of the project's strengths is coherence and complementarity with other initiatives, including those supported by other donors.	Highly satisfactory
<b>Quality of Project Design</b>	The project was designed to effectively address needs and priorities at different levels, which can be attributed to the extensive stakeholder participation. One of strengths of the project design is the coherence and complementarity with other initiatives.	<b>Satisfactory</b>
<b>Nature of External Context</b>	The external context was neutral to project implementation: despite a challenging one, the focus on the group rather than on individual countries (except for component 2) limited the potential impacts.	<b>Favourable</b>
<b>Effectiveness</b>		<b>Satisfactory</b>
1. Availability of outputs	Outputs are available and were delivered in a timely manner, except for outputs under component 2 which required the four years no-cost extension for the respective delivery.	Satisfactory
2. Achievement of project outcomes	Outcomes have been achieved or partially achieved.	Satisfactory
3. Likelihood of impact	The intermediate state has been achieved to a large extent and is likely to be achieved in its entirety in the medium term. Project impact is achieved in one part and likely to be achieved in the other.	Likely
<b>Financial Management</b>		<b>Moderately Unsatisfactory</b>

Criterion	Summary assessment	Rating
1. Adherence to UNEP's financial policies and procedures	Insufficient evidence was brought to the attention of the evaluator. Lack of complete and timely financial information consolidated at the project level impacted the rating.	Moderately Unsatisfactory
2. Completeness of project financial information	Financial information was not made available in a timely manner. Interim financial information not sufficient to fulfil the requirements of this report and the rating was influenced by the lack of integrated / project level financial reporting.	Moderately Unsatisfactory
3. Communication between finance and project management staff	Insufficient evidence was brought to the attention of the evaluator.	Moderately Unsatisfactory
<b>Efficiency</b>	The project was coherent and complementary to other initiatives. A two-years no cost extension was requested and granted.	<b>Moderately Satisfactory</b>
<b>Monitoring and Reporting</b>		<b>Satisfactory</b>
1. Monitoring design and budgeting	The design of the monitoring of the project follows good practice, with references to established UNEP, UNDP and GEF.	Highly satisfactory
2. Monitoring of project implementation	The evaluator failed to find evidence in the PIS that pointed to the challenges in implementing component 2, which may indicate the monitoring of project implementation did not fulfil a key function.	Moderately satisfactory
3. Project reporting	PIRs done by both UNDP and UNEP in accordance with respective responsibilities, rather than a single project report.	Moderately unsatisfactory
<b>Sustainability</b>		<b>Likely</b>
1. Socio-political sustainability	Evidence of commitment by LDCs.	Highly likely
2. Financial sustainability	Need to assure continued financial support to LDC Group preparation and coordination for negotiations.	Likely
3. Institutional sustainability	Some evidence of enhanced institutional capacity and national and, especially, at Group Level	Highly likely

Criterion	Summary assessment	Rating
<b>Factors Affecting Performance</b>		<b>Highly Satisfactory</b>
1. Preparation and readiness	The project started without delay. The evaluator was aware of staffing challenges (that were not limited to the kickoff of the project), but which seemed not to have a great impact on the project implementation, due to synergies with the NAP-GSP project.	Highly satisfactory
2. Quality of project management and supervision	The evaluator found no evidence that the project management and supervision were not of the highest standard.	Highly satisfactory
3. Stakeholders' participation and cooperation	Stakeholders were properly engaged in project design and there is evidence of responsiveness to stakeholder requests during project implementation.	Highly satisfactory
4. Responsiveness to human rights and gender equality	The project was able, through the very limited tools available (soft influencing the national focal point to nominate women to project activities), to exceed the goals for gender balanced.	Moderately satisfactory
5. Environmental and social economic safeguards	While not applicable <i>per se</i> , the project did limit GHG emissions by organizing back-to-back meetings.	Highly satisfactory
6. Country ownership and driven-ness	Stakeholder engagement during project design and adaptive management (namely to requests by the board), ensured ownership.	Highly satisfactory
7. Communication and public awareness	The project was successful in communicating with stakeholders and beneficiaries. Anecdotal evidence is the continued use of some of the project deliverables (such as some of the publications).	Highly satisfactory
<b>Overall Project Performance Rating</b>		<b>Satisfactory</b>

### Lessons Learned

13. Lesson 1: The coherence and complementarity with other initiatives and efforts were key for sustainable achievement of outcomes and enhanced likelihood of Impact.

14. Lesson 2: An active and agile board allowed for swift decision making and effective adaptive management
15. Lesson 3: Co-management by UNEP/UNDP contributed to effectiveness and efficiency.
16. Lesson 4: 17 Small Scale Financial Agreements worth ca. USD30k were not the most effective and efficient use of the resources.
17. Lesson 5: Engaging partners already engaged in existing initiatives enhances complementarity and sustainability.

### **Recommendations**

18. Recommendation 1: Explore opportunities for multilateral support for follow up project, namely through a GEF project.
19. Recommendation 2: Identify opportunities to indirectly contribute to sustainability of outcomes and enhanced likelihood of Intermediate State and Impact through activities implemented in other GEF/GCF/UNEP/UNDP projects (e.g. NAP GSP)
20. Recommendation 3: The donor community to continue to provide financial support for the coordination of the LDC Group and to include activities aimed at building capacity of negotiators in ongoing or new initiatives not directly aimed at supporting negotiators
21. Recommendation 4: Continued use of project outputs and other instruments to enhance sustainability.
22. Recommendation 5: Act on key variables that enhance sustainability of outcomes and likelihood of impact.
23. Recommendation 6: The donor community to provide support to LDCs to address the national constraints and barriers that limit the effectiveness of the LDCs participation in the UNFCCC negotiations.
24. Recommendation 7: Improve project reporting for projects that are jointly implemented
25. Recommendation 8: Improve final financial reporting, through the timely preparation of a final comprehensive financial report.
26. Recommendation 9: Improve management and effectiveness of small-scale financing agreements in future UNEP and/or UNDP projects

## I. INTRODUCTION

### A. Purpose and scope of the evaluation

27. The project UNEP/UNDP/GEF ID 5615 “**Building Capacity for LDCs to participate effectively in intergovernmental climate change processes**” (hereafter referred to as “the project”) has been implemented between October 1<sup>st</sup> 2014 and December 31<sup>st</sup> 2020 by the UNEP Ecosystems Division / UNEP Regional Office for Asia and the Pacific and the UNDP Asia Pacific Regional Centre, with a total secured budget of USD 19,232,380 (including co-financing).
28. In line with the UNEP Evaluation Policy<sup>7</sup>, UNEP Programme Manual<sup>8</sup>, UNDP Evaluation Guidelines<sup>9</sup> and the Guidance for Terminal Evaluations of UNDP-supported GEF-financed Projects<sup>10</sup>, the **Terminal Evaluation** is undertaken at completion of the project to **assess project performance** (in terms of relevance, effectiveness and efficiency), and **determine outcomes and impacts** (actual and potential) stemming from the project, including their **sustainability**.
29. The project, approved by the GEF on August 7, 2014, the UNDP on October 23<sup>rd</sup> 2014, and UNEP on January 13, 2015, was subject to a mid-term review, conducted in the period February-May 2018 and is now being subject to Terminal Evaluation, for which this is the main report.
30. The target audience for the evaluation findings are:
- a) The GEF
  - b) UNEP
  - c) UNDP
  - d) The LDC Group
  - e) The LDC Chair
  - f) The LDC negotiators at the UNFCCC
  - g) The LDC national systems/institutions for coordinating climate change information
  - h) The LEG.

### B. Institutional context of the project

31. At the time of project design (2011), the **UNEP Medium Term Strategy for 2010-2013** was in place. Climate change was one of the six cross-cutting thematic priorities, with the objective to “strengthen the ability of countries to integrate climate change responses

---

<sup>7</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>8</sup> <https://wecollaborate.unep.org>

<sup>9</sup> <http://web.undp.org/evaluation/guideline/index.shtml>

<sup>10</sup> [http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

into national development processes.” Five expected accomplishments under this priority have been defined:

- a) That adaptation planning, financing and cost-effective preventative actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data;
- b) That countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation;
- c) That improved technologies are deployed, and obsolescent technologies phased out, financed through private and public sources including the Clean Development Mechanism;
- d) That increased carbon sequestration occurs through improved land use, reduced deforestation and reduced land degradation;
- e) That country policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making. (UNEP, 2008).

32. During project approval and for most of the implementation period, the **UNEP’s Medium Term Strategy 2014-2017** was in place. The 2014-2017 MTS includes seven subprograms, one of which is Climate Change. The objective of this subprogram is *“to strengthen the ability of countries to move towards climate-resilient and low emission pathways for sustainable development and human well-being.”* The expected achievements under this subprogram are: i) climate resilience; ii) Low Emissions Growth.

*“THE PROPOSED LDCF PROJECT IS ALIGNED WITH THE OBJECTIVE OF SUBPROGRAMME 1 OF THE CURRENT UNEP PROGRAMME OF WORK (2012-2013). IN PARTICULAR, THE PROJECT SUPPORTS THE FOLLOWING POINT OF THE PROGRAMME OF WORK: TO IMPROVE THE GENERAL UNDERSTANDING OF CLIMATE CHANGE BY COMMUNICATING KEY MESSAGES REGARDING CLIMATE CHANGE IN CLEAR AND UNDERSTANDABLE WAYS TO DIFFERENT TARGET AUDIENCES SUCH AS NATIONAL LEVEL POLICYMAKERS, NEGOTIATORS, CIVIL SOCIETY AND THE PRIVATE SECTOR, INCLUDING THOSE AIMED AT INFLUENCING CONSUMER CHOICES.” (UNEP, 2013)*

33. UNEP strategic priorities include the **Bali Strategic Plan for Technology Support and Capacity Building (BSP)** and **South-South Cooperation (S-SC)**. The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries (UNEP Evaluation Office, 2020).



34. UNDP strategic priorities (UNEP Evaluation Office, 2020) include – The program was designed to contribute to outcome 1 of **UNDP's 2014-2017 Strategic Plan** ("Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded") CP outcome "National capacities are strengthened to mainstream climate change policies into national development plans. It also contributes to the **UNDP 2018-2021 Strategic Plan**, solution 4: Promote nature-based solutions for a sustainable planet, Contributing SP Outcomes:
- a) advance poverty eradication in all its forms and dimensions
  - b) accelerate structural transformations for sustainable development
  - c) strengthen resilience to shocks and crisis
35. The project was implemented by the Ecosystem Division at UNEP and by the UNDP. The executing agency was **UNEP's Regional Office for Asia and the Pacific** and **UNDP's Asia Pacific Regional Centre**.

## **II. EVALUATION METHODS**

36. The **Terminal Evaluation** involved a series of stages with data collection through both primary and secondary methods. The first stage of literature reviews included **desk review** of a wide range of documents (See Annex III), which included:
- a) general background **literature** on key barriers, challenges, needs and priorities of LDCs in relation to climate change, climate change negotiations and, more broadly, sustainable development,
  - b) official project related materials such as the original project description (**ProDoc**), ongoing project supervision reviews (**PIRs**), monitoring and financial reports; and finally
  - c) **material generated by the project** itself, including final and technical reports and (and appropriate related executive summaries), project communications, outreach materials and plans, any project related presentations/publications, websites and media, training and event materials (e.g. attendant lists/surveys and agenda's), minutes of the board.
37. The **evaluation framework** developed during the inception phase, aimed at answering questions on criteria including relevance, effectiveness, likelihood of impact, financial management, efficiency, monitoring and evaluation, sustainability and factors affecting performance as well answering the strategic questions previously articulated in the TORs for the terminal evaluation.
38. As required by ToR, the evaluation addressed the strategic questions listed below. These are questions of interest to UNEP and UNDP and to which the project is believed to be able to make a substantive contribution:
- a) To what extent was climate change negotiation capacity built in LDCs? What factors enhanced/limited the project's capacity-building efforts of climate change negotiations?
  - b) To what extent has the project developed national and international knowledge networks? And how have these networks contributed to the effective dissemination and exchange of knowledge products on climate change and climate change negotiations?
  - c) To what extent was did the project enable LDCs to integrate climate change mitigation and adaptation measures such as REDD+ and CDM into national strategies?
  - d) To what extent did the joint UNEP/UNDP project implementation enhance the delivery of outputs and increase the capacity of LDCs to effectively participate in intergovernmental climate change negotiations? What were the lessons learned that could be used for better jointly implemented UN Agency approaches going forward?
  - e) To what extent, and with what success, were the recommendations from the mid-term assessment taken up in the latter part of the project's implementation?
  - f) What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

39. Given the sanitary restriction imposed by the COVID-19 pandemic, only **on-line interviews** were performed using the MS Teams platform. The evaluator believes that while online interviews are not as adequate as in person interview for the collection of rich and diverse opinions as in-person interviews, the stakeholders seemed to be at ease and expressed their views on all questions asked.
40. An environment of trust was built in the beginning of each interview, when the evaluator explained that all information would be used, some could be directly quoted in the report, but there would not be any attribution to the respective respondent.
41. Interviewees, while being assured of the **confidentiality of the conversation**, were also asked permission for the interview to be recorded with the assurance that the files would be deleted at the end of the Evaluation. All interviewed stakeholders agreed.
42. The stakeholders interviewed and their respective type are listed in Annex II. A total of 14 interviews were held. While all stakeholders identified in the inception phase were reached out to, there was a lower than desired rate of response from stakeholders representing the project beneficiaries. Despite this fact and despite most interviewees were from the project team and partners, the interviewees from project beneficiaries provided enough evidence to substantiate and balance the findings of this evaluation.
43. Relevant limitations to the response to invitation to participate in the interview might have been fatigue of on-line meetings, in particular as stakeholders were contacted after COP-26 in Glasgow (November 2021).
44. Evaluation judgments are based on sound evidence, applying the Evaluation Office's "Evaluation Criteria Ratings Matrix", leading to the conclusions and recommendations as well as lessons learned included in this evaluation report. The analysis was built on sound evaluation principles including integrity, honesty, confidentiality, systematic inquiry and cultural sensitivity.

### III. THE PROJECT

#### A. Context

45. At the time of the project design (2011), 48 countries were categorized as Least Developed based on their gross national income, weak human assets and economic vulnerability. According to the International Panel on Climate Change (IPCC)'s Fifth Assessment Report (AR5), the effects of climate change and variability further exacerbate the socio-economic and environmental problems that Least Developed Countries (LDCs) already face, including financial constraints, technical capacity constraints, political instability, regional conflicts and ecosystem degradation, depriving large sections of populations of their livelihoods and thus remaining in poverty.
46. The discussion and **decisions at the UNFCCC have considerable implications for the development of LDCs**, both in terms of mitigation (emissions reductions) and of adaptation (increased resilience to impacts of climate change). These implications are far reaching in terms of key sectors of extreme importance to these countries, such as energy, agriculture, biodiversity, water and marine resources and coastal zones among many others. Due to the characteristics of the delegations of LDCs (small and overwhelmed, with insufficient technical capacity and resources, and as a result, often ill prepared), these decisions repeatedly do not take adequate consideration of the LDCs needs, priorities and capacities.
47. Recognizing the special circumstances of LDCs, the UNFCCC has for many years adopted decisions aimed at strengthening their respective capacity. In particular, a 2001 decision (**Decision 5/CP.7**) defines **six priorities for LDCs**, of which the most relevant and that justify interventions such as this project are:
- a) strengthen existing national climate change secretariats and/or focal points to enable the effective implementation of the UNFCCC and its Kyoto Protocol in LDCs;
  - b) provide training, on an ongoing basis, in negotiating skills and language; and
  - c) promote public-awareness programmes to ensure the dissemination of information on climate change issues;
48. In 2011, at COP17, it was realized that few resources, including from the Least Developed Country Fund, were allocated to these priorities, most having been used to support yet another priority defined in 2001: preparation and implementation of National Adaptations Plans of Action. It is in this context that the GEF was requested, in cooperation with the Least Developed Countries Expert Group (**LEG**), to implement a Global Support Programme (**GSP**) to focus on addressing the shortfalls in institutional and technical capacities that prevent LDCs from assuming greater ownership of the implementation of the UNFCCC; and establish sustainable institutional arrangements for co-ordinating their adaptation and mitigation efforts based on national priorities (UNEP Evaluation Office, 2020).
49. The project faced external challenges posed by the COVID-19 pandemic in its final months of implementation. It had only a slight impact on the timely delivery of the outputs under Component 2.

## B. Results Framework

50. The objective of the project was to “*strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts.*”

51. Three project components – each related to an intended outcome – were defined:

- a) **Component 1 (overseen by UNDP): The role of LDCs in intergovernmental climate change negotiations** – corresponding to outcome 1: Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened, namely by the increased capacity of negotiators to formulate their own negotiation positions pertaining to UNFCCC negotiation topics<sup>11</sup>.
- b) **Component 2 (overseen by UNEP). National systems/institutions for coordinating climate change information in LDCs** - corresponding to outcome 2: Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened.
- c) **Component 3 (overseen by UNDP and UNEP). Knowledge management** – corresponding to outcome 3: Knowledge Products generated by the project are available and are accessed and used by relevant stakeholders, in particular LDC negotiators

52. The following table presents the outputs associated with each component/outcome as well as the agency responsible for implementation.

**Table 3: Results Framework and project structure**

Component/Outcome	Output	Agency
Component 1 (overseen by UNDP): The role of LDCs in intergovernmental climate change negotiations / outcome 1: Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened, namely by the increased capacity of negotiators to formulate their own negotiation	Output 1.1: Negotiators from each LDC have enhanced diplomacy skills and critical information on key issues underpinning the negotiations.	UNDP
	Output 1.2: Negotiators from LDCs have increased technical knowledge pertaining to negotiation topics.	
	Output 1.3: A community of practice to interpret and respond to negotiation outcomes is in place.	

“WHEN THINGS STARTED GOING REMOTE, ALL GOT MORE COMPLICATED, AS IN SOME COUNTRIES THERE IS NOT A REAL EMAIL CULTURE WHEN YOU WANT THINGS TO BE DONE.”

INTERVIEWEE

<sup>11</sup> The drafting of the outcomes is reformulated in accordance with the proposed ToC at Evaluation included in this report.

Component/Outcome	Output	Agency
positions pertaining to UNFCCC negotiation topics	Output 1.4: A long-term operational strategy for the LDC Group to coordinate responses/submissions and participate in parallel negotiation topics is in place.	
Component 2 (overseen by UNEP). National systems/institutions for coordinating climate change information in LDCs / outcome 2: Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened.	Output 2.1: Support provided for formulation of country specific institutional co-ordination strategies for effective participation in intergovernmental climate change negotiations and facilitation of dissemination of relevant information emanating from the negotiations	UNEP
	Output 2.2: Technical assistance and guidance provided for the development of national systems for managing climate change information and data to support reporting under the UNFCCC	
Component 3 (overseen by UNDP and UNEP). Knowledge management – / outcome 3: Knowledge Products generated by the project are available and are accessed and used by relevant stakeholders, in particular LDC negotiators.	Output 3.1: Knowledge generated by the project is collected and disseminated	UNDP
	Output 3.2: Strategy to sustain knowledge is generated by the project, including through the South-South Co-operation	UNEP

### C. Stakeholders

53. The key project stakeholders (and intended beneficiaries) are:

- a) LDC representatives and negotiators,
- b) the LDC Group Core Team (including the Chair)
- c) UNFCCC representatives, and
- d) Members of the LEG.

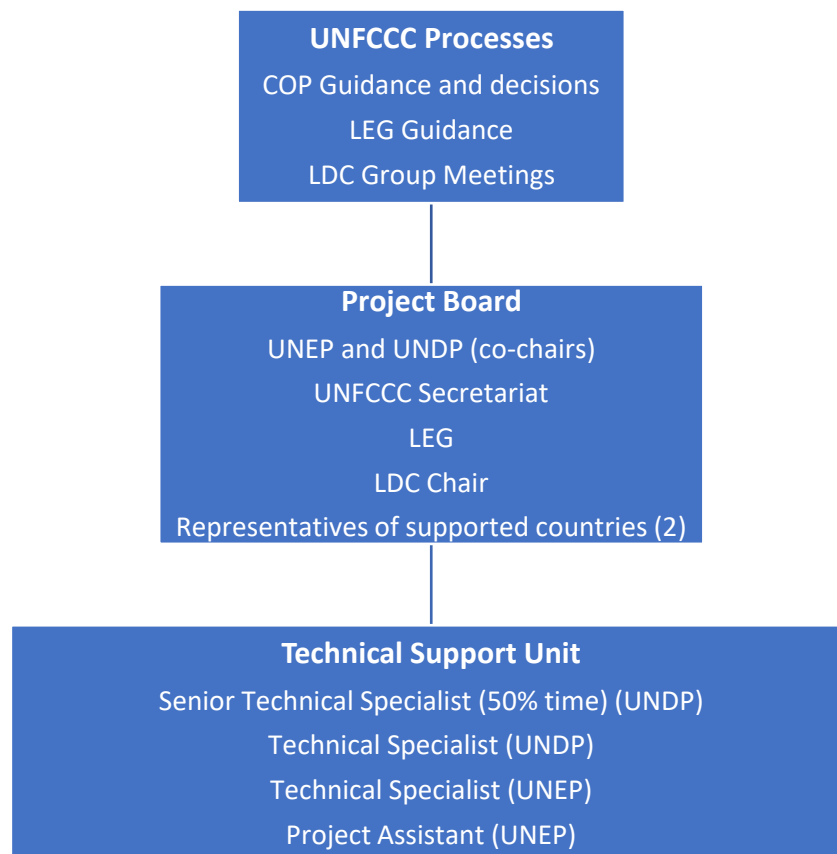
**Table 4: Stakeholder Analysis**

Stakeholder	Interest	Role and Contribution	Influence	Benefits / changes in behavior
LDC representatives and negotiators	Enhanced capacity to define national positions on UNFCCC negotiation issues and to better implement negotiation outcomes	Board member (although reference to participation not included in any minutes of the board meetings). Main beneficiaries of the project.	High	Enhanced capacity to determine national positions and to implement UNFCCC decisions.
The LDC Group Core Team (including the Chair)	Enhanced capacity to influence the UNFCCC negotiation outcomes by defining and negotiating a common LDC position.	Board member, played key role in identifying needs of the group that the project could address. Main beneficiaries of the project.	High	Enhanced capacity to define a common LDC position and to negotiate it as a block.
UNFCCC representatives	Committed to promoting and facilitating the participation of LDCs in the negotiations and in the implementation of decisions	Board member;	Low	n.a.
Members of the LEG	Supports LDCs in implementation of UNFCCC decisions	Board member; contributing to alignment and synergies of project activities with LDCF priorities and projects.	Medium	Enhanced effectiveness of the LDCF activities.

#### **D. Project implementation structure and partners**

54. The project was **implemented jointly by UNEP and UNDP** as GEF Implementing Agencies, each responsible for the respective components, activities and budget. The arrangements for this project reflect the NAP GSP it is being implemented under.
55. UNDP executed component 1 and output 3.1 in component 3 under the Direct Implementation Modality by the UNDP's Asia Pacific Regional Centre.
56. UNEP's Regional Office Asia Pacific executed component 2 and output 3.2 in component 3 under UNEP Ecosystems Division oversight.
57. The day-to-day management of the project was undertaken by a Technical Support Unit composed of technical specialists and a project assistant recruited and paid for by the project in both agencies.
58. A Project Board was established with six members:
  - a) UNDP
  - b) UNEP
  - c) UNFCCC Secretariat
  - d) LEG
  - e) LDC Group Chair
  - f) Two LDCs
59. While not explicitly foreseen in the ProDoc, the **GEF was also a member of the board** (the ProDoc foresees that "Other relevant stakeholders may participate in meetings as observers as needed, or upon approval by the Board, as Board members.)
60. The Board met once a year throughout the duration of the project, despite the recommendation of the mid-term review that the board should meet more often (e.g. every six months) to better respond to the fast changing needs of the beneficiaries, in particular the LDC Group Chair.
61. There is no definitive evidence that the two representatives from countries supported by the initiative participated in the meetings or that they were selected by the UNFCCC Secretariat and the LEG as mentioned in the ProDoc. One interviewee mentioned that the participation of these representatives could have increased the project's ability to build capacity at the institutional level in the beneficiary countries (see discussion below concerning outcome 2).
62. The following figure illustrates the project organisation structure and the project board composition, as included in the ProDoc.





**Figure 1 - Project organisation structure and the project board composition**

## **E. Changes in design during implementation**

63. **No formally approved changes to project design have been made during implementation.** Nonetheless, there is evidence (discussed below) of **adaptive management**, mostly as replies to Board requests. In addition, the recommendations accruing from the mid-term review did not require any changes to project design.
64. There were **4 no-cost extensions** to the project that were that were approved at the 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup>, and 5<sup>th</sup> Board Meetings. The first extension until August 2018 was approved by the Board on 21st May 2016; the second extension until 30 June 2019, was approved by the board on 2nd February 2018; the third extension until December 2019 approved by the board on 21st February 2019; and the fourth extension until 30th June 2020 was approved by the board on 28th February 2020 to allow UNEP to complete some activities under component 2.

## **F. Project financing**

65. **The total estimated project at design was USD 19,232,380 , of which USD 4,000,000 was to come from the GEF LDCF, co-finance (in-kind) valued at USD 15,232,380** (USD 120,000 from the Knowledge, Innovation and Capacity Group (UNDP-KCIG) Initiatives; USD 54,000 from UNITAR's e-learning course; USD 1,000,000 from UNITAR's UN CC:Learn platform; USD 300,000 from National Implementing Entities Direct Access (UNEP-NIE); USD 11,858,380 from UNEP/UNDP-GCF Readiness project; USD 200,000 from UNDP-Adaptation Learning Mechanism; USD 700,000 from Asia-Pacific Adaptation Network

(UNEP-APAN) and the Africa Adaptation Knowledge Network (UNEP-AAKNET); and USD 1,000,000 from the Climate Technology Centre and Network (UNEP-CTCN).

66. The tables below show the projects costs by component and per agency as well as the co-financing initiatives as provided for in the ProDoc.

**Table 5: Project costs by component and per agency at Design**

Component	UNEP	UNDP	Total estimated cost
Component 1	-	USD 1,687,000	USD 1,687,000
Component 2	USD 1,373,818	-	USD 1,373,818
Component 3	USD 409,818	USD 156,000	USD 565,818
Project Management	USD 156,364	USD 157,000	USD 313,364
M&E	USD 60,000	-	USD 60,000
<b>Total</b>	<b>USD 2,000,000</b>	<b>USD 2,000,000</b>	<b>USD 4,000,000</b>

**Table 6: Co-financing at Design**

Co-financing Initiative	Type of co-financing	Amount
UNDP-KCIG initiatives	In-kind	USD 120,000
UNITAR's e-Learning course Climate Change Diplomacy	In-kind	USD 54,000
UNITAR's One UN Training Service Platform on Climate Change (UN CC:Learn)	In-kind	USD 1,000,000
UNEP- NIE direct access project	In-kind	USD 300,000
UNEP/UNDP-GCF Readiness Project	In-kind	USD 11,858,380
UNDP-Adaptation Learning Mechanism	In-kind	USD 200,000
UNEP-APAN & UNEP-AAKNet	In-kind	USD 700,000
UNEP- CTCN	In-kind	USD 1,000,000
<b>Total</b>		<b>USD 15,232,380</b>

#### IV. THEORY OF CHANGE AT EVALUATION

67. The proposed **Theory of Change** (ToC) at Evaluation follows very closely the element of the Logical Framework (logframe) of the Project, namely in terms of Outputs, Outcomes Intermediate State, and Impact. The project does not formally include a logframe but includes most of its elements. The ProDoc, in addition to Problem and Solution Trees, includes a ToC for each outcome, which is not consistent with current guidelines for a project ToC. The elements of the ToC included in the ProDoc are also not consistent with current concepts and guidelines, namely in terms of what drivers and assumptions are. The ToC also include activities, which, as for other elements are not included in current guidelines for ToCs.
68. The ToC at Evaluation was proposed in the Inception Report and included for discussion in the preliminary findings presentation.
69. As such, the ToC at evaluation is based on:
- a) Description of project goal, objective, components, and results included in the (ProDoc)
  - b) Description of project risks (ProDoc)
  - c) The Results Framework (ProDoc)
  - d) Workplan and timetable (ProDoc)
  - e) Theory of Change, Problem and Solution Trees (ProDoc)
  - f) Relevant information contained in the Mid-Term Review Report
  - g) Relevant information contained in the 2018-2019 PIR
  - h) The feedback received to the Inception Report and in the preliminary findings presentation
70. **Key changes** to the original formulation included in the documents mentioned above are:
- a) Slight change of project **impact**, with addition to reference to climate resilient and low carbon development (in red);
  - b) Slight redrafting of the **intermediate state** to highlight preparedness for climate negotiations and include reference to preparedness to implement UNFCCC decisions, aligning it more closely to the drafting of the project goal as stated in the Results Framework (in red).
  - c) Redrafting of **Outcome 1**, to include elements of Output 1.1 which are more of an outcome rather than output nature.
  - d) Slight redrafting of **Outcome 3** to better indicate a change in behavior, as requested by the guidelines and to aligning it more closely to the drafting of the project goal as stated in the Results Framework.
  - e) Redrafting of **Output 1.1** to make it more consistent with the nature of an output (removing elements that denote change in behavior).
  - f) **Assumptions and drivers** have been identified and drafted in accordance with current definitions and guidelines. Some assumptions are proposed by the

evaluator, others are either included in the results framework or are based on those.

**Table 7: Justification for Reformulation of Results Statements**

<b>Formulation in original project document(s)</b>	<b>Formulation for Reconstructed ToC at Evaluation Inception (RTOC)</b>	<b>Justification for Reformulation</b>
LONG TERM IMPACT		
LDCs are enabled to effectively influence the global response to climate change	LDCs are enabled to effectively influence the global response to climate change and achieve a climate resilient, low carbon development.	The addition to the long-term impact aims at specifying the environmental and developmental impacts aimed to be achieved.
INTERMEDIATE STATES		
LDC negotiators participate effectively in intergovernmental climate change negotiations,	LDC negotiators prepare for and engage effectively in intergovernmental climate change negotiations, and LDCs are better prepared to implement its outcomes.	The redrafting of the intermediate state aims at putting an emphasis in the preparation of the participation in international negotiations. The addition at the end aims at highlighting the enhanced preparedness to implement the decisions adopted at the UNFCCC.
PROJECT OUTCOMES		
1. Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened (UNDP)	Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened (UNDP), namely by the increased capacity of negotiators to formulate their own negotiation positions pertaining to UNFCCC negotiation topics.	This addition to outcome 1, has been extracted from output 1.1, as it pertains to a change in behaviour/capacity and, as such, should be expressed at outcome level.
2. Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened. (UNEP)	No change	
3. Knowledge Products generated by the project are available.	Knowledge Products generated by the project are accessed and used by relevant stakeholders, in particular LDC negotiators.	The redrafting aimed at putting the focus on the behavioural change of the beneficiaries: it is not enough that information is

		available, beneficiaries need to access and use it.
OUTPUTS		
1.1: Negotiators from each LDC have enhanced diplomacy skills and critical information on key issues underpinning the negotiations in order to formulate their own negotiation positions pertaining to UNFCCC negotiation topics.	1.1: Negotiators from each LDC have enhanced diplomacy skills and critical information on key issues underpinning the negotiations.	The last part of output 1,1 is now part of Outcome 1, as it pertains to a change in behaviour.
1.2 Negotiators from LDCs have increased technical knowledge pertaining to negotiation topics	No change	
1.3 A community of practice to support LDCs to interpret and respond to negotiation outcomes	1.3 A community of practice to support LDCs to interpret and respond to negotiation outcomes is in place.	The expression "is in place" has been added to clarify what the output is.
1.4 A long-term operational strategy for the LDC Group to co-ordinate responses/submissions and participate in parallel negotiation topics.	1.4 A long-term operational strategy for the LDC Group to co-ordinate responses/submissions and participate in parallel negotiation topics is in place.	The expression "is in place" has been added to clarify what the output is.
2.1 Support provided for formulation of country specific institutional co-ordination strategies for effective participation in intergovernmental climate change negotiations and facilitation of dissemination of relevant information emanating from the negotiations	No change	
2.2 Technical assistance and guidance provided for the development of national systems for managing climate change information and data to support reporting under the UNFCCC	No change	
3.1 Knowledge products generated through the project are translated and available on an appropriate knowledge platform. (UNDP)	No change	

3.2 Strategy to sustain knowledge is generated by the project including through the South-South Co-operation (UNEP).	No change	
--	-----------	--

71. Based on the documentation described above, **three causal pathways** associated with each **outcome** can be identified:

- a) Outcome 1: Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened, namely by the increased capacity of negotiators to formulate their own negotiation positions pertaining to UNFCCC negotiation topics.
- b) Outcome 2: Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened.
- c) Outcome 3: Knowledge Products generated by the project are available and are accessed and used by relevant stakeholders, in particular LDC negotiators.

72. The three project outcomes are connected to **a single intermediary state** - *LDC negotiators prepare for and engage effectively in intergovernmental climate change negotiations, and LDCs are better prepared to implement its outcomes*, which leads to project **impact** - *LDCs are enabled to effectively influence the global response to climate change and achieve a climate resilient, low carbon development*.

73. However, the three causal pathways are intimately interconnected. In particular, causal pathways two and three (associated with outcomes 2 and 3) are important in ensuring achievement of outcome 1. Outcomes two and three represent key elements of the “strengthened capacity” portrayed in outcome one. This is reflected in the ToC diagram below by the arrows that connect the outputs under outcomes 2 and 3 to outcome 1 as well as by the dotted arrows that connect outcomes 2 and 3 to outcome 1.

**74. Causal pathway one associated with outcome one:** Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened.

75. In this causal pathway one, there are four outputs:

- a) Output 1.1: Negotiators from each LDC have enhanced diplomacy skills and critical information on key issues underpinning the negotiations.
- b) Output 1.2: Negotiators from LDCs have increased technical knowledge pertaining to negotiation topics.
- c) Output 1.3: A community of practice to support LDCs to interpret and respond to negotiation outcomes is in place.
- d) Output 1.4: A long-term operational strategy for the LDC Group to co-ordinate responses/submissions and participate in parallel negotiation topics is in place.

76. As mentioned above, there is great interdependence among outputs under this and the remaining pathways and the achievement of outcomes 2 and 3 is also important for the achievement of outcome 1.

77. In this causal pathway, at evaluation, two drivers and one assumption have been identified:

- a) Driver 1.1: Engagement to promote ownership and uptake is required between Output 1.4 and Outcome 1.
- b) Driver 1.2: Participants in trainings are same as in negotiations
- c) Assumption 1.1: Government staff are interested, learn from trainings and stay in their jobs (applies to all outputs in relation to Outcome 1).

78. Outcome 1 will lead into the Intermediate State - *LDC negotiators prepare for and engage effectively in intergovernmental climate change negotiations, and LDCs are better prepared to implement its outcomes*, if two assumptions hold:

- a) Assumption 1.2: LDC governments and international community, including the LDCF make resources available for implementation of operational strategy and participation of negotiators.
- b) Assumption 1.3: Climate change, including international negotiations rank high on the agenda of LDC governments and Government decision makers recognize the importance of climate change and are committed to facilitating the necessary processes required for the success of the project.

79. The causal pathways become unified in the step between the intermediate state and project impact: **LDCs are enabled to effectively influence the global response to climate change and achieve a climate resilient, low carbon development.** For the intermediate state to lead into project impact, assumption 3 - **LDC governments and international community, including the LDCF, GCF, AF and all the climate finance system, including private sector, make resources available for climate action**, needs to hold at this stage as well (this assumption is expected to play an important role for the assessment of sustainability in the main phase of the evaluation).

80. **Causal pathway two associated with outcome two: Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened.**

81. In this causal pathway two, there are 2 outputs:

- a) Output 2.1: Support provided for formulation of country specific institutional co-ordination strategies for effective participation in intergovernmental climate change negotiations and facilitation of dissemination of relevant information emanating from the negotiations.
- b) Output 2.2: Technical assistance and guidance provided for the development of national systems for managing climate change information and data to support reporting under the UNFCCC

82. To ensure the transition from outputs 2.1 and 2.2 to outcome 2, one driver and one assumption have been identified:

- a) Driver 2: National governments set up coordination mechanisms (particularly relevant to output 2.2)
- b) Assumption 1.1: Government staff are interested, learn from trainings and stay in their jobs (relevant for both outputs).

83. If the driver is ensured and if the assumption holds, then it is expected that Outcome two: Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened, can be achieved.
84. As mentioned above, the achievement of outcome 2 is relevant for the achievement of outcome 1.
85. Outcome 2 will contribute to the intermediate state if Assumption 1.2: LDC governments and international community, including the LDCF make resources available for implementation of operational strategy and participation of negotiators, holds.
86. Finally, ***causal pathway three associated with outcome 3***: Knowledge Products generated by the project are available and are accessed and used by relevant stakeholders, in particular LDC negotiators.
87. Two outputs contribute to this outcome:
- a) Output 3.1: Knowledge generated by the project is collected and disseminated.
  - b) Output 3.2: Strategy document? to sustain knowledge is generated by the project, including through the South-South Co-operation.
88. For this to happen, driver 3: **Dissemination tools are adequate to reach the different stakeholders**, in particular associated with output 3.1 needs to be ensured. Likewise, assumption 3 - **Information accessed is being effectively used**. Needs to hold.
89. The transition between Output 3 and the intermediate state will happen if assumption 4: **Knowledge continues to be produced and disseminated. LDC governments and international community provide needed resources and support holds.**
90. As mentioned for outcome 2, the achievement of outcome 3 is also relevant for the achievement of outcome 1.
91. The figure below is the diagram for the ToC at Evaluation (the parts in red and yellow highlight depict the changes at evaluation to the original formulations).



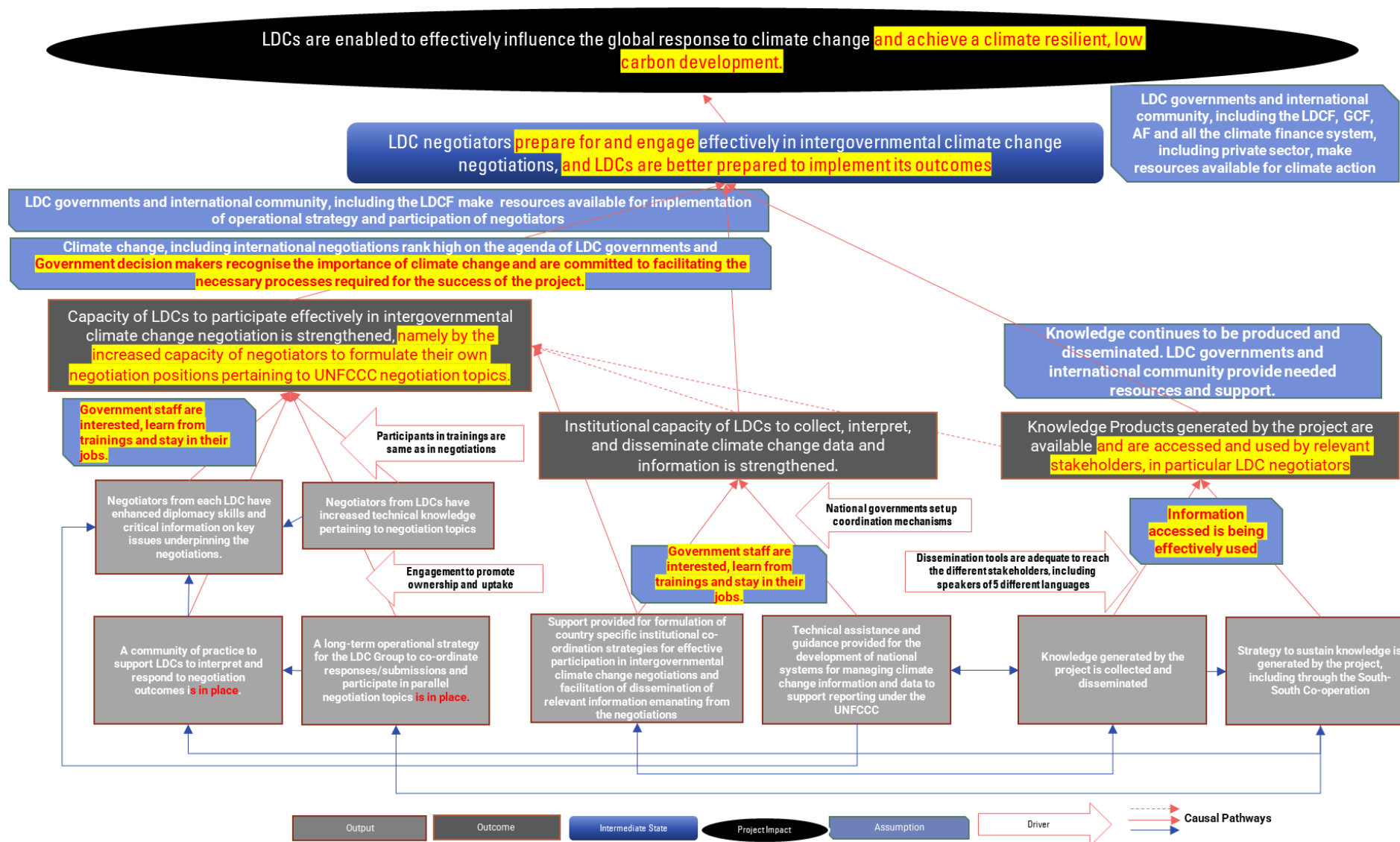


Figure 2 - ToC at evaluation

## V. EVALUATION FINDINGS

### A. Strategic Relevance

#### Alignment to UNEP, UNDP and GEF Strategic Priorities

92. At the time of project design (2011), the UNEP Medium Term Strategy for 2010-2013 was in place. Climate change was one of the six cross-cutting thematic priorities, with the objective to “strengthen the ability of countries to integrate climate change responses into national development processes.” Five expected accomplishments under this priority have been defined:
- a) That adaptation planning, financing and cost-effective preventative actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data.
  - b) That countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation.
  - c) That improved technologies are deployed, and obsolescent technologies phased out, financed through private and public sources including the Clean Development Mechanism.
  - d) That increased carbon sequestration occurs through improved land use, reduced deforestation and reduced land degradation.
  - e) That country policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making (UNEP, 2008).
93. During project approval and for most of the implementation period, the UNEP Medium Term Strategy 2014-2017 was in place. The 2014-2017 MTS includes seven subprograms, one of which is Climate Change. The objective of this subprogram is “to strengthen the ability of countries to move towards climate-resilient and low emission

“THE PROPOSED LDCF PROJECT IS ALIGNED WITH THE OBJECTIVE OF SUBPROGRAMME 1 OF THE CURRENT UNEP PROGRAMME OF WORK (2012-2013). IN PARTICULAR, THE PROJECT SUPPORTS THE FOLLOWING POINT OF THE PROGRAMME OF WORK: TO IMPROVE THE GENERAL UNDERSTANDING OF CLIMATE CHANGE BY COMMUNICATING KEY MESSAGES REGARDING CLIMATE CHANGE IN CLEAR AND UNDERSTANDABLE WAYS TO DIFFERENT TARGET AUDIENCES SUCH AS NATIONAL LEVEL POLICYMAKERS, NEGOTIATORS, CIVIL SOCIETY AND THE PRIVATE SECTOR, INCLUDING THOSE AIMED AT INFLUENCING CONSUMER CHOICES.” (UNEP, 2013)

pathways for sustainable development and human well-being.” The expected achievements under this subprogram are: i) climate resilience; ii) Low Emissions Growth; and iii) REDD-plus (UNEP, 2015).

94. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology, and knowledge between developing countries.
95. The project was designed to contribute to outcome 1 of UNDP's 2014-2017 Strategic Plan ("Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded") CP outcome "National capacities are strengthened to mainstream climate change policies into national development plans. It also contributes to the UNDP 2018-2021 Strategic Plan, solution 4: Promote nature-based solutions for a sustainable planet, Contributing SP Outcomes:

COP GUIDANCE HAS REQUESTED THE GEF, THROUGH THE LDCF, TO SUPPORT THE REMAINING ELEMENTS OF THE LDC WORK PROGRAMME (DECISIONS 5/CP.14 AND 5/CP.16). TO ACHIEVE THIS, THE GEF SECRETARIAT, IN COLLABORATION WITH LDC PARTIES AND ITS AGENCIES, AND IN CLOSE COORDINATION WITH LEAST DEVELOPED COUNTRY EXPERT GROUP (LEG), IS IMPLEMENTING A GLOBAL SUPPORT PROGRAMME (GSP). THIS GSP WILL FOCUS ON ADDRESSING THE SHORTFALLS IN INSTITUTIONAL AND TECHNICAL CAPACITY THAT PREVENT LDCS FROM ASSUMING GREATER OWNERSHIP OF THE IMPLEMENTATION OF THE UNFCCC. IT WILL ALSO ESTABLISH SUSTAINABLE INSTITUTIONAL ARRANGEMENTS FOR COORDINATING THEIR ADAPTATION AND MITIGATION EFFORTS. THESE CONSULTATIONS WERE TRANSLATED INTO GUIDANCE FROM THE GEF TO ITS AGENCIES ON HOW TO ADDRESS THE SHORTFALLS AND ABOVEMENTIONED CONSTRAINTS FOR LDCS<sup>6</sup>. IN RESPONSE TO THE NEEDS OF LDCS, A GSP, SUBJECT TO LDCF FUNDING, IS HEREBY DESIGNED BY UNDP AND UNEP TO PROVIDE:

- SUPPORT TO NATIONAL COORDINATION MECHANISMS FOR CLIMATE CHANGE TO ENABLE THE EFFECTIVE PARTICIPATION OF LDCS IN INTERGOVERNMENTAL CLIMATE CHANGE NEGOTIATIONS; AND
  - ACCESS TO – AND SUPPORT THE APPLICATION OF – THE BEST AVAILABLE INFORMATION, SCIENCE AND TECHNOLOGY TO INTEGRATE CLIMATE CHANGE INTO DEVELOPMENT PLANNING AND FACILITATE REPORTING UNDER THE UNFCCC (UNEP, 2013).
- a) advance poverty eradication in all its forms and dimensions
  - b) accelerate structural transformations for sustainable development
  - c) strengthen resilience to shocks and crisis

#### **Relevance to Global, Regional, Sub-regional and National Priorities**

96. The scientific evidence of the climate emergency is now even more pressing than it was at the time of project design. The challenges the global community is facing to address it are also becoming increasingly undeniable. The world is running out of time to avoid

dangerous human interference with the climate system. At the forefront of having to deal with the most serious climate change impacts are the most vulnerable countries. Least Developed Countries, if for no other reason than their socio-economic circumstances, are all among the most vulnerable and least resilient countries in the world.

97. The Paris Agreement, adopted during the implementation of the project, is an important step forward in the global efforts to fight climate change, but successive negotiations since then and the submission of less than “as ambitious as possible” Nationally Determined Contributions by most if not by all countries, show that countries need to intensify their efforts and act in accordance with the spirit of said multilateral environmental agreement.
98. Given the LDCs particular vulnerability to climate change impacts and their insignificant historical role in contributing to the problem, their active participation in the international negotiations under the UNFCCC was key to ensuring a balanced outcome of such negotiations.
99. Given the LDCs capacity gaps, said participation was not always effective nor necessarily aligned with national interests, in particular when the position of these countries was defended solely through the global G77+China position which represent an extremely wide range of national interests, many quite distant from those of LDCs.
100. A more active and effective participation of LDCs in the negotiations can be discernible since the late 2000’s. Since then, the LDCs have been heralds for ambition, equity and fairness in the climate negotiations both in relation to mitigation as well as championing the provision of support, including financial, to developing countries. Many ground-breaking aspects of the Paris Agreement can be attributed to the role LDCs played in the negotiations, both in terms of defining a coordinated position as well as in terms of negotiating it, namely through establishing alliances with countries and groups of countries with similar interests.
101. LDCs capacity to understand and implement the decisions of the UNFCCC is also historically low. While one can argue that there has been a continuous improvement which follows the path of each countries’ development, it can still certainly be said that the LDCs capacity to design and implement climate change policy, including as a result of UNFCCC decisions, is well below a desirable level. Recent discussion at COP-26 in Glasgow related to the provision of support to developing countries showed that the needs are still overwhelming and that the resources made available under the climate change process are far from sufficient to address them.
102. The specific needs this project addresses and that have found a consensus at the UNFCCC are well identified in the LDC work programme adopted in 2007:
  - a) strengthening national climate change secretariats and/or focal points; and
  - b) providing training to negotiators from LDCs to develop their capacity to negotiate effectively.
103. In 2011, immediately before project design, a UNFCCC decision highlighted the need to properly address these needs in future activities. The updated work programme, adopted in 2018, continued to identify these needs denoting slow progress in building the capacity of LDCs in relation to the matters addressed by the project.
104. Per the above, the project is considered to be **highly relevant for global, regional and national needs and priorities.**

## Complementarity with Existing Interventions/ Coherence

“THE MOST SUCCESSFUL ONES WERE WHERE THE SMALL GRANT WAS NOT STAND ALONE BUT WAS USED AS ADDITIONAL RESOURCES IN ONGOING PROJECTS. [...] SOME COUNTRIES ALSO USED THIS IN CONJUNCTION WITH NAP PROCESSES / RESOURCES TO STRENGTHEN COORDINATION MECHANISM.”

INTERVIEWEE

105. The **complementarity and coherence with existing interventions became very clear** when several interviewees mentioned that the achievement of one or another result could not be attributable to this specific project, but to the ensemble of support LDCs and the LDC Group were receiving from different sources.
106. The project showed complementarity and coherence, in particular with two interventions:
- a) The NAP GSP
  - b) Support to coordination of LDC Group in the negotiations
107. The **complementarity and coherence with the NAP GSP** was particularly relevant from an implementation and execution perspective: the success in the joint UNEP-UNDP project management described below has been attributed by many interviewees to the synergies with the NAP GSP project. In accordance with information gathered in the interviews, the management approach used in the negotiations project was the same as in the NAP GSP, with both projects also sharing important parts of their management teams.
108. While this was important from a management perspective – which one can argue leads to efficient delivery of outputs, the complementary and coherence with other support provided for the LDC Group coordination for negotiations played an even more significant role in the likelihood of achievement of outcomes and project impact.
109. The complementarity and coherence of the project with other interventions is well demonstrated by the engagement of partners in project implementation, namely IIED, Climate Analytics and UNITAR. **These partners were previously engaged** in supporting the LDC Group **and continued to do so** after the end of the project, with the continued support from other donors.
110. The inclusion of these partners engaged in existing interventions as well as the effective guidance from the board and close cooperation with the LDC Group Chair ensured a real complementarity and coherence with other initiatives. In accordance with information collected during this evaluation, this is an important finding and a lesson learned.

**Rating for Strategic Relevance: Highly Satisfactory**

## B. Quality of Project Design

111. As per the guidance for Terminal Evaluations, a detailed analysis of the quality of project design was included in the inception report prepared in the scope of this evaluation.
112. The **project design was mostly satisfactory in the parts that addressed the global/regional needs and priorities rather than the national needs and priorities**. The operating context, the project preparation and the strategic relevance were all mostly designed to address global and regional needs and priorities, which has an impact on the effectiveness of the activities designed.
113. The regional nature of the project so determined that the focus would be on regional needs, but as correctly identified in the ProDoc, significant barriers and constraints that characterize the regional problem addressed by the project are of a national nature, namely capacity constraints at the level of the national focal point and of the national coordination mechanisms.
114. During the main phase of this Terminal Evaluation, it became clear that, given the resources available, the **project was indeed best designed to address global and regional needs and priorities rather than national needs and constraints**. Not addressing the root causes at national level, however, might have an impact on the sustainability of results.
115. This has effects on the intended results and causality. The focus should have been on the LDC Group rather than on LDCs. As argued elsewhere, the outcomes and impact of the project may have been achieved by considering enhanced capacity of the LDC Group to define and negotiate a Group position, without the underlying national capacity constraints having been properly addressed or solved.
116. The governance and supervision arrangements designed as well as the partnerships envisioned at project design were appropriate and fundamental to promote an efficient and sustainable project implementation.
117. The quality of project design seems to have been influenced by intense stakeholder engagement at the appropriate time.

“THE PROJECT SHOULD HAVE BEEN BETTER DESIGNED IN RELATION TO COMPONENT 2. IT WAS NEVER VERY CLEAR WHAT THE SSFAS UNDER OUTPUT 2.1 WERE MEANT TO DELIVER.”

INTERVIEWEE

**Table 8 – Strengths and weakness of project design**

Element of project design	Strengths	Weaknesses
Operating Context	Good overview of how national circumstances affect LDCs capacity to negotiate and implement UNFCCC decisions.	Analysis focused at country level without references to regional / LDC Group level context, needs and priorities.

Element of project design	Strengths	Weaknesses
Project Preparation	Stakeholder participation and analysis Gender mainstreaming concerns	LDCs mostly addressed as a homogenous, despite short section dedicated to diversity in the group.  No specific references to indigenous or minority groups
Strategic Relevance	Project is aligned with UNEP MTS and PoW and UNDP Strategic Objectives. ProDoc is very clear in relation to alignment with GEF and LDCF priorities. Complementarity with other initiatives well integrated into project design.	N/A
Intended Results and Causality	Mostly realistic and coherent causal pathways	Lack of identification of causal interdependence among outputs and between outcomes 2 and 3 and outcome 1 Causal pathway under outcome 2 too ambitious Risks and assumptions not sufficiently detailed in each causal pathway
Logical Framework and Monitoring	Mostly realistic and coherent implementation strategy, taken into account timeframe and scale of the intervention SMART indicators	Despite SMART indicators, these can hardly capture changes at higher results level (such as objective and outcomes).
Governance and supervision arrangements	Board composition Clear allocation of responsibilities among agencies and partners Sharing of approach, structures and teams with NAP-GSP	Allocation of responsibilities between UNEP and UNDP might not have been fully guided by their respective comparative advantages

Element of project design	Strengths	Weaknesses
Partnerships	<p>Partner engagement in project design</p> <p>Selection of partners consistent with complementarity and coherence with other initiatives</p> <p>Partners role clear</p>	<p>Role and inputs of national partners less clear than that of implementing partners</p>
Learning, Communication and Outreach	<p>Project focus on knowledge management</p>	N/A
Financial planning / budgeting	<p>Budget allocation mostly coherent with relevance and importance of components</p>	<p>Underestimated budget for component 2 as designed</p>
Efficiency	<p>Appropriateness of length of project</p> <p>Complementarity and coherence with existing initiatives</p> <p>Partners engaged in other initiatives</p> <p>Sharing of approaches and teams with other GSP projects</p>	N/A
Risk Identification and Social Safeguards	N/A	<p>Risk ratings underestimated in some cases, in particular regarding "Likelihood"</p>
Sustainability / Replication and Catalytic Effects	<p>Integration of key sustainability elements into outputs (e.g. long term operational strategy; knowledge networks)</p> <p>Replicability through the dissemination of non-dated results (such as publications)</p>	<p>Absence of approach to ensure financial sustainability after project termination</p>

**Rating for Project Design: Satisfactory**



## C. Nature of the External Context

118. The **external context is**, by default, a **challenging** one for a project aiming at building institutional capacity. LDCs have struggled and continue to struggle with the socio-economic and political stability required to long lasting capacity building.
119. While there is **great diversity among LDCs**, some are faced with extremely high levels of poverty and social unrest. Latent or open armed conflict, with other countries or with insurgent groups is also present in some LDCs.
120. The evaluator found that, in one specific circumstance, the delivery of results by a particular beneficiary was delayed due to armed conflict.
121. The project was only marginally impacted by the COVID-19 pandemic as only a few deliverables were still due at the time sanitary measures were imposed in most countries in the world, LDCs included.
122. Aside from the COVID-19 pandemic, while the remaining context was challenging it was also predictable. The evaluator finds that the project management was able to steer project implementation through difficulties when they arose.

**Rating for Nature of the external context: Favourable**

## D. Effectiveness

### Availability of Outputs

123. **All activities were concluded, and all outputs were delivered.** Because the project was granted 4 no-cost extensions, most outputs were delivered outside the timeframe foreseen in the ProDoc. However, as can be found in the minutes of the meetings of the board, this did not represent a major threat to the effectiveness of the support being provided.

124. **Greatest difficulties were found in relation to output 2.2** under component 2, which was delivered up to the last no-cost extension and, in some case, *in extremis* (in accordance to an interviewee, at the very late stages of project, the pressure to deliver a result

“[THERE WAS A DIFFICULTY] IN [COUNTRY X] BECAUSE THEY WERE BEING BOMBED AT THE TIME. THE FOCAL POINT COULD NOT RETURN TO THE COUNTRY, SO IT WAS DIFFICULT TO ASK HIM TO DELIVER.”

INTERVIEWEE

in each of the 17 countries was intense). In addition to some of the aspects mentioned in the chapter on the Nature of External Context, some unforeseeable and uncontrollable events (such as the passing away of a focal point or COVID-19), contributed to the intense pressure felt to deliver this specific output.

Table 9: Availability of outputs

Output	Available?	Target	Comment
1.1: Negotiators from each LDC have enhanced diplomacy skills and critical information on key issues underpinning the negotiations.	Yes	At least 5 training documents updated/produced and distributed on negotiation terminology, formulating negotiation positions and understanding UNFCCC negotiation processes.	<p>A total of 10 training documents were updated/produced (3 on selected topics) under the project. 6 were developed directly by the project, whereas 4 were fully developed by IIED with the project agencies (UNEP and UNDP) providing inputs.<sup>12</sup></p> <p>The 6 documents are as follows:</p> <ul style="list-style-type: none"> <li>Provisions for support to LDCs: facilitating the implementation of the UNFCCC and the Paris Agreement (<a href="http://globalsupportprogramme.org/resources/provisions-support-lDCs-facilitating-implementation-unfccc-and-paris-agreement">http://globalsupportprogramme.org/resources/provisions-support-lDCs-facilitating-implementation-unfccc-and-paris-agreement</a>)</li> <li>Least Developed Countries' experiences with the UNFCCC Technology Mechanism (<a href="http://globalsupportprogramme.org/resources/least-developed-countries%E2%80%99-experiences-unfccc-technology-mechanism">http://globalsupportprogramme.org/resources/least-developed-countries%E2%80%99-experiences-unfccc-technology-mechanism</a>)</li> <li>A guide to transparency under the UNFCCC and the Paris Agreement (<a href="http://globalsupportprogramme.org/resources/assessments-and-background-documents/guide-transparency-under-unfccc-and-paris-agreement">http://globalsupportprogramme.org/resources/assessments-and-background-documents/guide-transparency-under-unfccc-and-paris-agreement</a>)</li> <li>Becoming a UNFCCC delegate: what you need to know (<a href="http://globalsupportprogramme.org/resources/becoming-unfccc-delegate-what-you-need-know">http://globalsupportprogramme.org/resources/becoming-unfccc-delegate-what-you-need-know</a>)</li> <li>Climate negotiations terminology: the pocket guide (<a href="http://globalsupportprogramme.org/resources/climate-negotiations-terminology-pocket-guide">http://globalsupportprogramme.org/resources/climate-negotiations-terminology-pocket-guide</a>)</li> <li>Options for the Legal Form of the Paris Outcome (<a href="http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/options-legal-form-paris-outcome">http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/options-legal-form-paris-outcome</a>)</li> </ul> <p>The 4 documents developed by IIED with the project agencies' inputs are:</p> <ul style="list-style-type: none"> <li>Strengthening the Lima Work Programme on Gender; Perspectives from Malawi and the CBD (<a href="http://globalsupportprogramme.org/resources/strengthening-lima-work-programme-gender-perspectives-malawi-and-cbd">http://globalsupportprogramme.org/resources/strengthening-lima-work-programme-gender-perspectives-malawi-and-cbd</a>)</li> <li>A study of LDC capacity at the UNFCCC (<a href="http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/study-lDC-capacity-unfccc">http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/study-lDC-capacity-unfccc</a>)</li> <li>The Paris Agreement and the LDCs (<a href="http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/paris-agreement-and-lDCs">http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/paris-agreement-and-lDCs</a>)</li> <li>National adaptation plans; Understanding mandates and sharing experiences (<a href="http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/national-adaptation-plans-understanding">http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/national-adaptation-plans-understanding</a>)</li> </ul>

<sup>12</sup> UNDP 2018 PIR

Output	Available?	Target	Comment
		At least 144 LDC negotiators, with at least 15% of these women, trained on diplomacy, negotiation terminology, formulating negotiation positions and understanding UNFCCC negotiation processes.	236 negotiators trained (137 in-person and 99 e-learning) <sup>13</sup>  Gender balance on the 2 e-learning courses. 1st: (2015) 48% female; 2nd (2016) 32% female <sup>14</sup> .
1.2 Negotiators from LDCs have increased technical knowledge pertaining to negotiation topics	Yes	At least 3 training documents updated/produced on selected negotiation topics/streams	A total of 10 training documents were updated/produced (3 on selected topics) under the project. 6 were developed directly by the project, whereas 4 were fully developed by IIED with the project agencies (UNEP and UNDP) providing inputs.

<sup>14</sup> Reports on the 1<sup>st</sup> and 2<sup>nd</sup> e-training

Output	Available?	Target	Comment
		At least 48 senior LDC negotiators (at least one from each LDC) trained on technical knowledge relevant to climate change negotiation topics/streams. (The 48 senior negotiators may be drawn from the 144 negotiators specified in the target for Output 1.1).	<p>236 negotiators trained (137 in-person and 99 e-learning)</p> <p>The following training events took place:</p> <ul style="list-style-type: none"> <li>• Climate Change Negotiation Skills: Training for LDC Negotiators (FR) Bangkok 2015</li> <li>• Climate Change Negotiation Skills: Training for LDC Negotiators (EN) Bangkok 2015</li> <li>• Seminar for Senior LDC Coordinators and Negotiators on Climate Change Bonn 2015</li> <li>• E-course on Climate Change Diplomacy: Negotiating Effectively under the UNFCCC spring 2015</li> <li>• E-course on Climate Change Diplomacy: Negotiating Effectively under the UNFCCC e-learning fall 2015</li> <li>• Climate Change Negotiation Skills: Training for LDC Negotiators (EN/FR) Addis Ababa 2016</li> <li>• Senior Negotiators Seminar: "Refining Our Negotiation Skills" Bangkok 2016</li> </ul>
1.3 A community of practice to support LDCs to interpret and respond to negotiation outcomes is in place.	Yes	A community of practice to support LDC negotiators is established and fully functional.	The community is established, with key elements being: the LDC Group coordination meetings <i>per se</i> ; the Elders and the LDC Group website which allows for remote interaction among the community members.
1.4 A long-term operational strategy for the LDC Group to co-ordinate responses/submissions and participate in parallel negotiation topics is in place.	Yes	A long-term strategy for the LDC Group is developed and disseminated for endorsement.	<p>Group. In accordance with interviewees, the Group has adopted a Long-Term Strategy Document which is confidential.</p> <p>The project produced a document on financing options to support the long-term strategy of the LDC Group.</p>

Output	Available?	Target	Comment
2.1 Support provided for formulation of country specific institutional co-ordination strategies for effective participation in intergovernmental climate change negotiations and facilitation of dissemination of relevant information emanating from the negotiations	Yes	At least 100 government technical staff, with at least 20% of these women, have accessed e-learning courses.	99 experts signed up to the e-learning courses, of which 41% were women.
2.2 Technical assistance and guidance provided for the development of national systems for managing climate change information and data to support reporting under the UNFCCC	yes	At least 3 manuals and toolkits developed/updated and distributed on the collection, analysis dissemination and archiving of climate change data and information.	Four manuals and toolkits were developed in collaboration with the IIED. In consultation with the LDC Group Chair, the production of one manual was substituted with the production of an internal strategy paper to support the group for effective engagement in the climate change negotiations in 2017.

Output	Available?	Target	Comment
		At least 20 LDCs have been provided with support to develop a national system for managing (i.e. collecting, analysing disseminating and archiving) climate change information – including	Support provided to 17 countries (number of countries aligned with Board decisions).
3.1 Knowledge products generated through the project are translated and available on an appropriate knowledge platform. (UNDP)	Partially	At least four knowledge products on climate change negotiations translated into 5 LDCs' local languages and disseminated to the corresponding LDCs.	<p>Of the ten knowledge products delivered by the project, four have been translated to French:</p> <ul style="list-style-type: none"> <li>• A guide to transparency under the UNFCCC and the Paris Agreement (<a href="http://globalsupportprogramme.org/resources/assessments-and-background-documents/guide-transparency-under-unfccc-and-paris-agreement">http://globalsupportprogramme.org/resources/assessments-and-background-documents/guide-transparency-under-unfccc-and-paris-agreement</a>);</li> <li>• Becoming a UNFCCC delegate – what you need to know (<a href="http://globalsupportprogramme.org/resources/becoming-unfccc-delegate-what-you-need-know">http://globalsupportprogramme.org/resources/becoming-unfccc-delegate-what-you-need-know</a>);</li> <li>• Climate negotiations terminology - the Pocket Guide (<a href="http://globalsupportprogramme.org/resources/climate-negotiations-terminology-pocket-guide">http://globalsupportprogramme.org/resources/climate-negotiations-terminology-pocket-guide</a>); and</li> <li>• The Paris Agreement and the LDCs (<a href="http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/paris-agreement-and-lDCs">http://globalsupportprogramme.org/resources/reports-and-publications-relevance-country-teams/paris-agreement-and-lDCs</a>).</li> </ul>
3.2 Strategy to sustain knowledge is generated by the project including through the South-South Co-operation (UNEP).	Yes	At least 3 knowledge networks updated with information and at least 20 LDCs are actively sharing information and lessons learned on these networks.	Three knowledge-sharing networks are being supported and maintenance arrangements developed for the LDC website. In order to avoid the duplication of existing knowledge platforms the project sought to complement existing ones instead, including: the IIED knowledge platform, the LDC Group knowledge repository, the GSP knowledge portal and the UNDP adaptation portal.

## Achievement of Project Outcomes

125. Outcome 1: Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened, namely by the increased capacity of negotiators to formulate their own negotiation positions pertaining to UNFCCC negotiation topics.

126. Based on evidence collected through interviews and from analysing the history of climate change negotiations, in particular of key Conferences of the Parties (such as COP15 in 2009, COP21 in 2015 and COP26 in 2021), it is **evident that the capacity of the LDC group to effectively participate in the intergovernmental climate change negotiations has been strengthened.**

127. In accordance with an interviewee, the LDC Group has become, in particular since 2009 and in the run up to the adoption of the Paris Agreement, a champion for ambition

“LDCS PLAYED THE ROLE TO REMIND THE WORLD OF THE NEED TO BE AMBITIOUS DUE TO BEING IN THE FRONTLINE OF IMPACTS.”

INTERVIEWEE

having played a pivotal role in the inclusion of the reference to 1.5°C in the Paris Agreement’s goals, which is a testimony to the Group’s enhanced capacity.

128. Based on the evidence collected, the evaluator finds that the first clause of Outcome 1 (Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened) has **been achieved.**

129. Considering the opinion voiced by the majority, if not of all the interviewees, it is not possible to attribute the achievement of the first clause of Outcome 1 to the project in isolation of other initiatives and other support provided by the donor community. The evaluator, however, considers this a strength of project design and implementation, as it shows complementarity and coherence with other initiatives.

130. As for the second clause of Outcome 1 (increased capacity of negotiators to formulate their own negotiation positions pertaining to UNFCCC negotiation topics), the evaluator finds a diversity of situations that, at best, allows for the determination of a **partial achievement.**

131. There are several aspects that contribute to this more challenging assessment of achievement:

- a) The large diversity of LDCs, where this increase of capacity by the individual negotiators is more evident in some than in others.
  - i. Some LDCs are in a more advanced level of institutional capacity and socio-economic development than others, owing to external context and not to the project; these countries might be in a better position to dedicate greater resources to the development of a national position.
  - ii. Some idiosyncrasies in specific countries allowed for some negotiators to devote more of their time to UNFCCC negotiations, including the development of national positions.
  - iii. Some interviewees mentioned that the countries that held the Chair of the LDC Group during the project duration might have benefited more and

might have enjoyed more sustainable results. Others did not mention such a direct link.

- b) The increase of capacity of the LDCs as a group to effectively participate in the negotiations is not rooted in the corresponding increase of capacity at national level.
  - i. The position of the group seems to, in most cases, be determined from the top-down, rather than from the bottom up.
  - ii. Some interviewees mentioned that in some circumstances, specific positions defended by the group clearly showed its top-down nature; this, said interviewees alluded to, is eventually the result of senior and experienced negotiators having the opportunity to discuss and coordinate a Group position based on perceived strategic Group interests, rather than arriving at a Group position as a result of the bargaining of national positions.

132. Given the focus of the project in supporting the Group rather than individual countries and given the diversity of the LDCs, in some which capacity of negotiators to formulate national negotiation positions, the evaluators finds that **Outcome 1 is achieved**.

133. Outcome 2: Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened.

134. As discussed in the ToC at evaluation, the evaluator finds that there is a link between outcome 2 and outcome 1, almost as if outcome 2 was a precondition for outcome 1 to be achieved. As discussed immediately above, this is especially true for the second clause of Outcome 1.

“THE PROJECT WAS NOT VERY IMPACTFUL. AT SOME POINT CHECKING THE BOX BECAME IMPORTANT SO AS TO “GET THE PROJECT DONE.””

INTERVIEWEE

135. The evaluator believes that a truly sustainable achievement of outcome 1, namely the determination of bottom-up Group positions, is only secured through the achievement of outcome 2. As such, the discussion above on the achievement of the second clause of outcome 1 is mostly relevant and applicable to the discussion on the achievement of outcome 2.

136. Given the project design and implementation, including the resources available for component 2 and given the outputs foreseen, **one might argue that outcome 2 was overly ambitious**.

137. In accordance with some interviews, the project, in particular when on combination with other interventions, contributed to the enhanced institutional capacity of LDCs. However, only 17 LDCs benefited directly from component 2 activities and not all of these seem to have been fully able to absorb the capacity support provided by the project.



138. Notwithstanding, the evaluator has anecdotal evidence of institutional capacity being built in specific countries. Noting the diversity among LDCs, this institutional capacity building seems to be rather striking in a handful of countries. These countries and their respective negotiators have taken and are taking leadership roles in the LDC Group. However, one interviewee, specifically noted that **the project focused less on building institutional capacity than on that of individual negotiators.**
- [REDACTED]
- “[X COUNTRY] COORDINATES ITS NATIONAL POSITION AHEAD OF EACH JUNE SESSION AND OF EACH COP. SUPPORT FROM DONORS IS REQUIRED TO FUND TRAVELLING OF STAKEHOLDERS TO THE CAPITAL.”
- INTERVIEWEE
139. As per the above, and given the outcome being in relation to (all) LDCs and not in relation to specific countries but considering that institutional capacity of specific countries has been strengthened, the evaluator finds that **outcome 2 has been partially achieved.**
140. Outcome 3: Knowledge Products generated by the project are accessed and used by relevant stakeholders, in particular LDC negotiators.
141. The evaluator has come across extensive evidence that the **knowledge products** generated by the project have been used and, where applicable, **continue to be accessed** and used by relevant stakeholders, in particular LDC negotiators.
- [REDACTED]
- “[X COUNTRY] WAS VERY RESPONSIVE. WHAT THEY NEEDED TO DO WAS CLEARER AND THEY ALREADY HAD SOME FOUNDATION. [Y COUNTRY] HIRED TWO PROFESSORS TO REVIEW THEIR COORDINATION PROCESSES.”
- INTERVIEWEE
142. The evaluator is aware that as a reflection of the dynamics of the negotiations and upon request of key stakeholders, in particular de LDC Chair, several knowledge products are dated, in particular those thematic ones generated to support the definition and negotiation of the group position on a certain topic at specific sessions of the Conference of the Parties. These are, when not confidential, available on the website and can be used by different stakeholders even if with different purposes than the ones that led to the generation of the knowledge product originally.
143. On the other hand, the evaluator has come across evidence that some knowledge products, namely those of a cross-cutting nature (such as the pocket guide on climate negotiations terminology) are still being accessed and used by LDC negotiators as well as other stakeholders within and outside the Group.
144. As per the above, the evaluator finds that **outcome 3 has been achieved.**

## **Likelihood of Impact**

145. Intermediate State: LDC negotiators prepare for and engage effectively in intergovernmental climate change negotiations, and LDCs are better prepared to implement its outcomes.
146. The evaluator has found extensive evidence – mostly along the lines of that presented for the assessment of achievement of outcomes, that, as whole, while noting the great diversity and heterogeneity within the Group, LDCs prepare and engage effectively in intergovernmental climate change negotiations.
147. The evaluator believes that the achievement of the first clause of the intermediate state is an important sign regarding the likelihood of achievement of project impact.
148. With regard to the second clause of the intermediate state (LDCs are better prepared to implement its outcomes), the evaluator recognizes that its achievement is particularly dependent on the assumptions below and is therefore more ambitious and challenging to achieve:
- a) Assumption 1.2: LDC governments and international community, including the LDCF make resources available for implementation of operational strategy and participation of negotiators.
  - b) Assumption 1.3: Climate change, including international negotiations rank high on the agenda of LDC governments and Government decision makers recognize the importance of climate change and are committed to facilitating the necessary processes required for the success of the project.
149. Regardless, the evaluator is of the opinion that active and experienced negotiators have an important role in enhancing national capacity to implement the outcomes of the negotiations, not only by better understanding the challenges and opportunities for the country, but also by better understanding the support mechanisms available to LDCs for implementation of COP decisions.
150. In this regard, noting the diversity among LDCs, the evaluator believes that the second clause of the intermediate stage has been partially achieved when considering the Group and has been achieved in several of the most advanced LDCs.
151. As such, the **intermediate state has been achieved to a large extent and is likely to be achieved in its entirety in the medium term.**
152. Impact: LDCs are enabled to effectively influence the global response to climate change and achieve a climate resilient, low carbon development.
153. The evaluator has found extensive evidence, by analysing the history of climate change negotiations and taking into consideration the opinions of several interviewees, that **project impact has been partially achieved and that its first clause has been achieved.**
154. Anecdotal evidence of the LDCs effectively influencing the global response to Climate Change includes the role played by the LDCs in the **High Ambition Coalition (HAC)** presented to the world on December 9, 2015, mere three days before the Paris Agreement was adopted. HAC's mission was to campaign for the conclusion of an ambitious climate agreement. The support of the LDCs to this mission represented a distancing of the Group's position from that of the larger G77+China. This is a testimony to the Group's capacity to understand climate change science that clearly positions LDCs as the most vulnerable to climate change and the Group's recognition that the only way to avoid

catastrophic impacts on their countries is by ambitious global GHG emissions reductions.

155. After Paris, the LDCs continue to push for ambition, raising awareness to climate science. In the meantime, the Group has focused its attention to topics such as adaptation (namely the Global Goal on Adaptation), Loss and Damage and climate support from developed countries, including financial support.
156. With regard to the second clause of the project Impact (achieve a climate resilient, low carbon development), LDCs are as likely to achieve it as any other country. However, unlike many that have achieved economic development and now need to focus only on decarbonization and resilience, LDCs also need to ensure economic development. The barriers and challenges are considerable, but the evaluator believes that it is likely that, in the long term, LDCs, like all other countries in the world will achieve low carbon resilient development – provided the global agenda remains in that direction and resources are available.
157. **Project impact is therefore achieved in one part and likely to be achieved in the other.**

**Rating for Effectiveness: Satisfactory**

## **E. Financial Management**

### **Adherence to UNEP's Financial Policies and Procedures**

158. No evidence was brought to the attention of the evaluator that UNEP's and UNDPs financial policies and procedures were not adhered to. However, very limited financial information was provided and there were significant gaps in the supporting documentation.

THERE HAVE BEEN NO ISSUES WITH FUNDING AVAILABILITY. THE WAY THE FINANCIAL FLOW HAPPENED WAS VERY SMOOTH

INTERVIEWEE

159. The evaluator was not made aware of any delays in the availability of funds that had any impact on project implementation. In addition, the evaluator found that there was flexibility to adjust budgetary provision to changes in project implementation (adaptive management).

“RESOURCES WERE SUFFICIENT BECAUSE AT THE END THERE WAS MUCH LESS TRAVEL THAN FORESEEN, AS THE BENEFICIARIES WERE ASKING THINGS WHICH DID NOT REQUIRE THAT MUCH TRAVELLING. THERE WAS FLEXIBILITY TO SHIFT RESOURCES FROM THIS TO OTHER PRODUCTS”

INTERVIEWEE

160. Budget reallocations were confined to specific activities within each project component (tables below show expenditures per component at the level estimated in project design, showing no transfer has been made among project components).
161. The four no-cost extensions to project duration had, as the name suggests, no impacts on the budget.

### Completeness of Financial Information

162. At the time of the Terminal Evaluation **only interim financial information was available**. Upon request, some information was made available although originally not in a format that was compatible with the requirements of this terminal evaluation. After several interactions between the evaluator and the project team, it was concluded that not all financial information would be available during the main phase of the TE.
163. **The evaluator and the project team agreed that, where feasible, additional and/or final information would be made available during the review of the draft report.** While additional explanations were provided, including on co-finance, no consolidated final financial information at the level of the whole project was submitted.
164. As mentioned in relation to other project implementation reports, the evaluator finds that **UNDP and UNEP should produce a consolidated report** encompassing all project information, in addition to the agency-specific reports. This would increase transparency of reporting and facilitate the Terminal Evaluation process. The evaluator's rating is based on the lack of financial information consolidated across the UNDP and UNEP components and the timeliness of the submissions.
165. The tables below present the financial information available during the main phase of the TE. The tables with empty cells are kept in the report as placeholders to facilitate the collection of information during the review of this report.

**Table 10 - Expenditure by component and agency (USD)**

Component	Estimated Cost at Design (UNEP)	Actual Cost / Expenditure (UNEP) <sup>15</sup>	UNDP (Estimated Cost at Design)	Actual Cost / Expenditure (UNDP)	Total actual cost/expenditure	Expenditure ratio (actual/planned)
Component 1	-	-	1,687,000	1,679,093.23	1,679,093.23	0.995
Component 2	1,373,818	1,424,994	-	-	1,424,994	1.037
Component 3	409,818	379,286	156,000	160,740.57	540,026.6	0.954
Project Management	156,364	80,523	157,000	160,163.16	240,686.2	0.768

THERE IS NOT A REQUIREMENT TO INCLUDE CO-FINANCING IN THE FINANCIAL REPORTS. THE PROJECT TRACKING SYSTEM DOES NOT CAPTURE CO-FINANCING.

INTERVIEWEE

<sup>15</sup> As of December 2019

Component	Estimated Cost at Design (UNEP)	Actual Cost / Expenditure (UNEP) <sup>15</sup>	UNDP (Estimated Cost at Design)	Actual Cost / Expenditure (UNDP)	Total actual cost/expenditure	Expenditure ratio (actual/planned)
M&E	60,000	15,200			15,200	0.253
<b>Total</b>	<b>2,000,000</b>	<b>1,900,004</b>	<b>2,000,000</b>	<b>1,999,999.96</b>	<b>3,900,000</b>	<b>0.975</b>

**Table 11 – Co-financing**

Co-financing (Type/ Source)	UNEP OWN Financing		Government		Other		Total		Total Disbursed
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants	USD 2,000,000						USD 2,000,000		
Loans									
Equity Investments									
In-kind support					USD 13,232,380 <sup>16</sup>	USD 19,162,826	USD 13,232,380	USD 19,162,826	
Other									
<b>Totals</b>	<b>USD 2,000,000</b>				<b>USD 13,232,380</b>		<b>USD 15,232,380</b>	<b>USD 21,162,826</b>	

**Table 12 - Actual co-financing per co-financing initiative**

Co-financing Initiative	Type of co-financing	Estimated Amount	Actual co-financing
UNDP-KCIG initiatives	In-kind	USD 120,000	USD 120,000
UNITAR's e-Learning course Climate Change Diplomacy	In-kind	USD 54,000	USD 54,000
UNITAR's One UN Training Service Platform on Climate Change (UN CC:Learn)	In-kind	USD 1,000,000	USD 1,000,000
UNEP- NIE direct access project	In-kind	USD 300,000	USD 300,000
UNEP/UNDP-GCF Readiness Project	In-kind	USD 11,858,380	USD 17,788,826
UNDP-Adaptation Learning Mechanism	In-kind	USD 200,000	USD 200,000
UNEP-APAN & UNEP-AAKNet	In-kind	USD 700,000	USD 700,000
UNEP- CTCN	In-kind	USD 1,000,000	USD 1,000,000
<b>Total</b>		<b>USD 15,232,380</b>	<b>USD 21,162,826</b>

<sup>16</sup> There is a discrepancy between in the ProDoc: while Appendix 3 total for in-kind co-financing is USD 15,232,380 and USD 2,000,000 for grant co-financing; the value for in-kind included in Section 1: Project Identification is USD 13,232,380, with the same USD 2,000,000 for grant co-financing. In appendix 3, TOTAL project financing is USD 21,232,380 (LDCF USD4M; Grant co-financing USD2M and in-kind co-financing USD 15,232,380). In Section 1, TOTAL project financing is USD 19,232,380 (LDCF USD4M; Grant co-financing USD2M and in-kind co-financing USD 13,232,380). Section 7 of the ProDoc is consistent with Section 1 and not with the Appendix.

## Communication Between Finance and Project Management Staff

166. The information available was not sufficient to assess the communication between the finance and project management staff. Interviewees have referred to meaningful cooperation. During the main phase of the TE, the evaluator witnessed such cooperation among the finance and project management, even though this cooperation was not able to produce the desired result: the delivery of the required financial information.

**Table 13: Rating of financial management**

Financial management components:		Rating	Evidence/ Comments
<b>1. Adherence to UNEP's/GEF's policies and procedures:</b>		<b>MU</b>	
Any evidence that indicates shortcomings in the project's adherence to UNEP or donor policies, procedures or rules		No	No evidence has been brought to the attention of the evaluator. However, the lack of a final financial report does not allow for a complete assessment.
<b>2. Completeness of project financial information:</b>		<b>MU</b>	
Provision of key documents to the evaluator (based on the responses to A-H below) <sup>17</sup>		<b>MU</b>	The information on expenditures consolidated at the level of the whole project was not readily available and was not provided in a suitable format. The key challenge is related to the financial information being prepared by each agency in accordance with their own procedures, instead of a project-wide finance report. This affected the rating.
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	The detail provided is adequate. There is discrepancy between the information contained in them main body of the ProDoc and in the appendix of said document.
B.	Revisions to the budget	Yes	
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	
D.	Proof of fund transfers	No	The evaluator did not request this information specifically.
E.	Proof of co-financing (cash and in-kind)	Yes	The evaluator found evidence of the interaction with the co-financing initiatives, which should suffice to demonstrate co-financing at adequate levels. Additional information was provided during the review of the draft report.
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	No	Only an interim financial report has been made available. The information is presented by each agency regarding their respective budgets rather than at a project level.

<sup>17</sup> During the commenting phase of this evaluation, the Evaluator noted that current UNEP Evaluation Office tools and guidance for Terminal Evaluations does not indicate the relative importance of different financial documents. The provision of a consolidated financial expenditure report at the level of the whole project should be regarded as 'Sine qua non' and be provided prior to the preparation of the evaluation inception report.

Financial management components:		Rating	Evidence/ Comments
G.	Copies of any completed audits and management responses (where applicable)	N/A	To the best knowledge of the evaluator audits have not been performed.
H.	Any other financial information that was required for this project (list):	N/A	
<b>3. Communication between finance and project management staff</b>		<b>MU</b>	Insufficient evidence was brought to the attention of the evaluator.
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	While no consolidated project-wide financial information was being produced, each agency had procedures in place to monitor the expenditures related to its own project budget.
Fund Management Officer's knowledge of project progress/status when disbursements are done.		MS	Interviewees mentioned that disbursements were not linked to deliverables / progress. Nonetheless, implementation reports were produced on a regular and timely manner.
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		HS	There is no evidence of any financial management issues that jeopardized effective and efficient project implementation were not properly addressed.
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		-	This information is not available. The evaluator believes that the lack of a final financial report during the TE might be indicative of less than full cooperation.
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		U	Despite the efforts and apparent good will, the information provided to perform the assessment of the financial performance of the project was limited, lacked supporting documentation and was submitted very late.
<b>Overall rating</b>		<b>MU</b>	<b>The rating of the financial management is influenced by the lack of, suitably formatted and readily available financial information consolidated, at the whole project level which would increase transparency and accountability. The evaluator acknowledges, however, the efforts made to provide interim information separately by UNEP and UNDP.</b>

**Rating for Financial Management: Moderately Unsatisfactory**

## F. Efficiency

167. Several stakeholders, mentioned that ***“it is not possible to attribute [the intended results] to this project in isolation...”*** This is, in the evaluator’s opinion, the best evidence of efficiency in project design and implementation and a confirmation of the project’s coherence and complementarity with existing initiatives.
168. There is evidence that the project was coherent and complementary to other initiatives supported by the donor community that also aimed at building capacity of LDCs in effectively participating in the climate change negotiations. The engagement of project partners (such as IIED, Climate Analytics and UNITAR), which were previously engaged in supporting the LDC Group and that (some) continue to do so after the project completion (with funds from other donors), is demonstrative of an efficient use of resources.
169. There is also evidence that the project was designed and managed in close proximity to the NAP-GSP, also implemented by UNEP and by UNDP. The projects shared many aspects, including staff members and management officers. This allowed for important efficiency gains by the agencies and in project implementation.
170. There were **four no-cost extensions** to the project, mostly due to difficulties in the roll out of activities related to component 2. This means that components 1 and 3 were completed earlier, but also after the original timeframes foreseen in the ProDoc. Several interviewees mentioned that the approach to component 2 was not the most efficient as the resources available for each country were not sufficient to realise a significant and sustainable change.
- “THE MOST SUCCESSFUL COUNTRIES [WITH REGARDS TO COMPONENT 2] WERE WHERE THE SMALL GRANT WAS NOT STAND ALONE BUT WAS USED AS ADDITIONAL RESOURCES IN ONGOING PROJECTS.”

INTERVIEWEE
171. One interviewee mentioned that it was difficult to effectively engage most countries in such small-scale activities. The evaluator was made aware that, as time ran out and results under component 2 were not being delivered by the beneficiary countries, the management decision was to speed up and wrap up the project, potentially sacrificing the quality of the outputs over the need to deliver.
172. On other hand, the evaluator was also made aware that the small grant was more successful where it was possible to add the resources from the project to other ongoing initiatives. This again shows that complementarity with other initiatives is key to efficiency.
173. Regarding the carbon footprint, the evaluator finds that promoting project activities and meetings, including those of the board, back-to-back with other meetings has significantly contributed to limit greenhouse gas emissions associated with the project activities.
174. Despite the efficiency in implementation of the remaining project and the results achieved, the challenges related to component 2 and the four no-cost extensions



seriously impacted the efficiency rating of the project, which is set at Moderately Satisfactory.

**Rating for Efficiency: Moderately Satisfactory**

## **G. Monitoring and Reporting**

### **Monitoring Design and Budgeting**

175. The **design** of the monitoring of the project **follows good practice** established by UNEP, UNDP and GEF.
176. The **Results Framework** is the cornerstone of the monitoring plan of the project, which foresees a yearly and a six-monthly report. A Project Terminal Report was also foreseen in the ProDoc.
177. A **mid-term evaluation** and a **final evaluation** have been foreseen in the monitoring plan and budget was allocated for both. No specific budget was allocated to the six-monthly, annual and terminal report, but as these are tasks of the project team, they are covered by the respective fees.
178. The indicators included in the Results Framework are **SMART**, although it is noted that indicators and targets were only defined at output and project objective level. It would have been important to include indicators and targets at the outcome level as well. The evaluator finds that, in relation to the indicators defined for output 2.1, these could have been more specific, so as to better capture progress towards formulation of country-specific institutional coordination strategies.

### **Monitoring of Project Implementation**

179. The evaluator has found that some PIR presented progress towards results which were not consistent with the Results Framework included in the ProDoc. For example, while the UNEP PIR for Fiscal Year 2016 presented indicators at the level of output (as in the ProDoc), the same report for FY 2017 presented indicators without a disaggregation at output level. In this specific case, the indicators for Output 2.2 foreseen in the ProDoc were not included in the PIR. In later reports, the monitoring was consistent with the ProDoc.
180. However, the evaluator notes that in the UNEP PIR for FY 2019, the progress rating for component 2 was HS, when the indicator showed a significant shortfall in relation to the target.
181. The evaluator could not find evidence that the PIRs clearly identified, early on, the constraints and barriers encountered in implementing component 2 in such a way as to allow the monitoring of project implementation to fulfil its function of flagging issues and triggering the design of corrective measures.

## Project Reporting

182. The ProDoc mentions that the Annual Project Review/Project Implementation Reports (APR/PIR) combines UNEP, UNDP and GEF reporting requirements, which implied that a single report would be produced. However, the evaluator was only given access to agency-centric rather than project centred reports. The PIRs were produced independently by UNEP and UNDP in relation to their respective roles and responsibilities, including financial commitments.

“THE POLITICAL WILLINGNESS FOR ENHANCED GROUP COORDINATION NEEDS TO BE BACKED UP BY SUPPORT TO BUILDING CAPACITY TO DETERMINE NATIONAL POSITIONS, WHICH CAN THEN BE DISCUSSED AND COORDINATED AT GROUP LEVEL.”

INTERVIEWEE

“FUNDS TO FINANCE DELEGATES ARE NOT ENOUGH. THERE IS A NEED FOR SUPPORT TO PARTICIPATION IN NEGOTIATION SESSIONS. THERE IS ALSO THE NEED SUPPORT FOR TECHNICAL WORK. HAVE SOMEONE THAT CAN EASILY LOOKS AT DOCUMENTS AND QUICKLY PROPOSE A GROUP POSITION.”

INTERVIEWEE

183. The evaluator finds that this approach is unhelpful both in terms of accompanying project implementation as well as for the purpose of carrying out this terminal evaluation.

184. The evaluator found extensive consideration of gender issues in project reporting, which is not the case for vulnerable or marginalized groups.

185. In addition, the evaluator was not given access to the **Project Terminal Report**, which, in accordance with the ProDoc should have been prepared during the last three months of project duration. The absence of this report was particularly detrimental to the capacity to effectively evaluate the availability of outputs and to assess the fulfilment of the targets included in the results framework.

186. **The final financial accounts were also not available** which amounted to potentially the biggest barrier to carrying out this terminal evaluation.

<b>Rating for Monitoring and Reporting:</b>	<b>Satisfactory</b>
---	---------------------

## H. Sustainability

### Socio-political Sustainability

187. The evaluator finds that there is great commitment by the LDCs and by the remaining international community that the LDC Group remains an active voice in the climate change negotiations.

188. In accordance with interviews, **governments of LDCs are committed to continuing to support Group coordination and to continue negotiating as a block.** This is reaffirmed often, namely at ministerial coordination that have been taking place during the High-Level sessions of the Conference of the Parties.
- “STAFF TURNOVER IS AT LEAST SLOWING DOWN, THAT IS WHY YOU CAN STILL SEE THE SAME PEOPLE 6 YEARS LATER. IN CERTAIN COUNTRIES, THERE IS AN INCREASE OF PREDICTABILITY AND STEADY NATIONAL FINANCING.”
- INTERVIEWEE

189. Despite the fact that LDCs are faced with particular, long-standing challenges, which have been described in the project context and are not expected to dramatically change in the medium-term, the project focus on the Group rather than on individual countries, minimize the risks of socio-political instability in any country posing a major threat to the sustainability of the project outcomes and impact.

190. As such, the socio-political sustainability is rated **Highly Likely**.

### Financial Sustainability

191. In accordance with stakeholders interviewed, it is not expected that the governments of the LDCs are in a position to finance all the costs associated with the effective participation of the LDC Group in the climate change negotiations.

192. As such, the evaluator found that the **continued financial support of the international community is key to ensure the sustainability of the project outcome and impacts.** As per the interviewees, a diversity of funding sources is desirable, but it is particularly important to ensure **multilateral support** to the LDC Group, so as to minimize scope for potential undue influence.

“THERE’S A DIVERSITY OF SITUATIONS, WITH OLD NEGOTIATORS, NEW NEGOTIATORS AND OLD NEGOTIATORS THAT LEFT AND NOW CAME BACK. THE GROUP HAS THIS PROGRAM OF OLD NEGOTIATORS MENTORING NEW NEGOTIATORS. THIS NEW GENERATION IS VERY STRONG AND LEARNS VERY FAST. GROUP HAS BEEN STABLE, WITH KEY AGENDA ITEMS COVERED BUT MORE SHOULD BE DONE. WISH GOVERNMENTS COULD COMMIT NEGOTIATORS FOR SOME TIME FOR STABILITY AND CONTINUITY.”

193. The evaluator found that support is still being provided to the LDC Group, and as such, the financial sustainability is rated **Likely**.

INTERVIEWEE

### Institutional Sustainability

194. In accordance with interviewees, the discussion on the institutional arrangements for the LDC Group is still ongoing, with some stakeholders (and some LDCs) favouring the

creation of a standing secretariat and others favouring the continuation of the support focused on the LDC Chair and his or her team.

195. While the evaluator believes that a decision on the matter would promote the effectiveness of future support and the sustainability of the project results, the maintenance of the status quo (direct support to the Chair of LDCs and his/her core team) will ensure the required institutional support to the sustainability of project outcomes and impact.
196. At the national level, the institutional set up is likely to pose greater risks to sustainability, namely due to high staff turnover. Several interviewees mentioned this as a concern, although there is evidence of negotiators remaining on the job for several years.
197. There is evidence that some countries are making important efforts to ensure continuity of negotiators on the job. One example relates to one negotiator that has moved jobs at the national level, but remained a negotiator.
198. The Group of Elders has been created to promote continuity and maintenance of institutional memory in the Group, ensuring that new negotiators receive as much knowledge from past experience as possible.
199. As such, the institutional sustainability is rated **Highly Likely**.

**Rating for Sustainability: Likely**

## I. Factors Affecting Performance and Cross-Cutting Issues

200. While the relevant factors affecting performance have, where applicable, been referred to above, the table below provides a brief summary of each.

**Table 14 - Factors Affecting Performance and Cross-Cutting Issues**

Factor	Comment
Preparation and readiness	The project started without delay. The evaluator was aware of staffing challenges (that were not limited to the kickoff of the project), but which seemed not to have a great impact on the project implementation, due to synergies with the NAP-GSP project.
Quality of project management and supervision	The evaluator found evidence, including through interviews, that the project management and supervision were of a high standard.
Stakeholder participation and cooperation	Stakeholders were properly engaged in project design and there is evidence of responsiveness to stakeholder requests during project implementation.
Responsiveness to human rights and gender equality	The project was able, through the very limited tools available (soft influencing the national focal point to nominate women to project activities), to exceed the goals for gender balance.
Environmental and Social Safeguards	While not applicable <i>per se</i> , the project did limit GHG emissions by organizing back-to-back meetings.
Country ownership and driven-ness	Stakeholder engagement during project design and adaptive management (namely to requests by the board), ensured ownership.
Communication and public awareness	The project was successful in communicating with stakeholders and beneficiaries. Anecdotal evidence is the continued use of some of the project deliverables (such as some of the publications).

<b>Rating for Factors Affecting Performance and Cross-Cutting Issues:</b>	<b>Highly Satisfactory</b>
---	----------------------------

<b>OVERALL PROJECT RATING: Satisfactory</b>
---

## VI. CONCLUSIONS AND RECOMMENDATIONS

### A. Conclusions

201. The LDCs are at the forefront of vulnerability to the impacts of climate change which has historically not corresponded to the LDC Group's impact on the decisions taken at the UNFCCC.
202. There is evidence, even in the project baseline, that over the past two decades the Group's Capacity to coordinate and effectively participate in the UNFCCC negotiations has been increasing. However, it is also evident that **building and maintaining such capacity is extremely dependent on the support received from the international community**.
203. The project, which was designed with an extensive stakeholder engagement (as described in the ProDoc and confirmed in the interviews), managed to produce a detailed map of the Group's needs as well as of the ongoing initiatives and support already being provided. This important feature of project design has ensured that the project was **coherent and complementary** to other initiatives, which in turn has played an important role in the very high levels of achievement of the project.
204. In this context, the project addressed the needs and the priorities of the LDCs and in particular of the LDC Group, through three components, each corresponding to a desired project outcome:
- i. Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened, namely by the increased capacity of negotiators to formulate their own negotiation positions pertaining to UNFCCC negotiation topics.
  - ii. Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened.
  - iii. Knowledge Products generated by the project are available and are accessed and used by relevant stakeholders, in particular LDC negotiators
205. During the interviews, stakeholders often praised the quality of the **trainings**, in particular to young negotiators, as it provided an opportunity to learn from senior LDC negotiators.
206. The **publications** were also mentioned as very important elements for capacity building. Some of these publications are still being used today, several years after publication (namely those on the basics of negotiations). Other publications quickly became outdated due to the dynamic of the negotiations but played a vital role at a specific time when it conveyed important information for the definition of the Group's position on a specific negotiation topic.
207. The **availability of outputs and the achievement and likely achievement of project outcomes and impact are a testimony to the very high effectiveness with which the project was implemented**. Several aspects seemed to have contributed to that:
- i. Coherence and complementarity with other initiatives and support provided by other donors

- ii. Choice of experienced project partners which were already engaged in providing support to the LDC Group
- iii. The joint implementation of the project by UNEP and UNDP, promoting the use of synergies with other Global Support Programs, namely the NAP-GSP, including in relation to project team and management
- iv. A close cooperation with the LDC Chair(s) and the adoption of adaptive management to address the requests
- v. An active and fast-moving project board that allowed for decisions on key project activities being made swiftly.

208. However, project implementation was not without glitches and **component 2 proved to be particularly challenging**, constituting the main reason the project had four no-cost extensions. Several

interviewees noted that the lack of UNEP offices in each country (in contrast to UNDP that has an extensive presence on the ground), played an important part in the challenges faced. The volume of financial resources available for this component, amounting to about USD30,000 for each

“SPECIAL EFFORTS NEEDED ON BRINGING UP WOMEN. MOST OF THE RISING STARS ARE MAN. TO PROMOTE WOMEN MORE FINANCING IS NEEDED. THE NEGOTIATION TRUST FUND USUALLY DOES NOT SUPPORT NEGOTIATORS, BUT OFFICIALS. SOMETIMES THE OFFICIAL IS ALSO A NEGOTIATOR, BUT IN MANY CASES NOT.”

INTERVIEWEE

of the 17 countries that signed the Small-Scale Funding Agreements, might have resulted in low country buy-in. The countries where this component had greater impact were those which had ongoing initiatives to which the project was complementary.

209. Given its nature, the project did not have the most effective tools available to promote gender balance. Nonetheless, despite balance not having been met, the targets defined were exceeded. Additionally, there is evidence of women taking up senior and leadership roles in the negotiations. The 2022-2024 chair of the LDC Group is a woman, which provides an important signal to all those aspiring to become negotiators or lead negotiators.

210. **The project monitoring plan was well designed, but the implementation did not deliver the high-quality information one would expect.** Besides some issues in the PIR which failed to identify the seriousness of the challenges related to the implementation of component 2, the lack of a final report and the unavailability of the final financial report at the time of this evaluation are key aspects that need to be improved.

## B. Summary of project findings and ratings

211. The table below provides a summary of the ratings and finding discussed in Chapter V. Overall, the project demonstrates a rating of **Satisfactory**.

**Table 15: Summary of project findings and ratings**

Criterion	Summary assessment	Rating
<b>Strategic Relevance</b>		<b>Highly satisfactory</b>
1. Alignment to UNEP MTS, POW and strategic priorities	The project is fully aligned with UNEP MTS, POW and Strategic Priorities: “strengthen the ability of countries to integrate climate change responses into national development processes.”	Highly satisfactory
2. Alignment to UNEP/Donor strategic priorities	The project is aligned with the COP request to the GEF to support the elements of the LDC Work Programme.	Highly satisfactory
3. Relevance to global, regional, sub-regional and national environmental priorities	LDCs are among the most vulnerable to CC impacts. Their effective participation in the negotiations and enhanced capacity to implement UNFCCC decision are key to the achievement of global goals.	Satisfactory
4. Complementarity with existing interventions / Coherence	One of the project’s strengths is coherence and complementarity with other initiatives, including those supported by other donors.	Highly satisfactory
<b>Quality of Project Design</b>	The project was designed to effectively address needs and priorities at different levels, which can be attributed to the extensive stakeholder participation. One of strengths of the project design is the coherence and complementarity with other initiatives.	<b>Satisfactory</b>
<b>Nature of External Context</b>	The external context was neutral to project implementation: despite a challenging one, the focus on the group rather than on individual countries (except for component 2) limited the potential impacts.	<b>Favourable</b>
<b>Effectiveness</b>		<b>Satisfactory</b>
1. Availability of outputs	Outputs are available and were delivered in a timely manner, except for outputs under component 2 which required the four years no-cost extension for the respective delivery.	Satisfactory



Criterion	Summary assessment	Rating
2. Achievement of project outcomes	Outcomes have been achieved or partially achieved.	Satisfactory
3. Likelihood of impact	The intermediate state has been achieved to a large extent and is likely to be achieved in its entirety in the medium term. Project impact is achieved in one part and likely to be achieved in the other.	Likely
<b>Financial Management</b>		<b>Moderately Unsatisfactory</b>
1. Adherence to UNEP's financial policies and procedures	Insufficient evidence was brought to the attention of the evaluator. Lack of complete and timely financial information consolidated at the project level impacted the rating.	Moderately Unsatisfactory
2. Completeness of project financial information	Financial information was not made available in a timely manner. Interim financial information not sufficient to fulfil the requirements of this report and the rating was influenced by the lack of integrated / project level financial reporting.	Moderately Unsatisfactory
3. Communication between finance and project management staff	Insufficient evidence was brought to the attention of the evaluator.	Moderately Unsatisfactory
<b>Efficiency</b>	The project was coherent and complementary to other initiatives. A two-years no cost extension was requested and granted.	<b>Moderately Satisfactory</b>
<b>Monitoring and Reporting</b>		<b>Satisfactory</b>
1. Monitoring design and budgeting	The design of the monitoring of the project follows good practice, with references to established UNEP, UNDP and GEF.	Highly satisfactory
2. Monitoring of project implementation	The evaluator failed to find evidence in the PIS that pointed to the challenges in implementing component 2, which may indicate the monitoring of project implementation did not fulfil a key function.	Moderately satisfactory
3. Project reporting	PIRs done by both UNDP and UNEP in accordance with respective responsibilities, rather than a single project report.	Moderately unsatisfactory

Criterion	Summary assessment	Rating
<b>Sustainability</b>		<b>Likely</b>
1. Socio-political sustainability	Evidence of commitment by LDCs.	Highly likely
2. Financial sustainability	Need to assure continued financial support to LDC Group preparation and coordination for negotiations.	Likely
3. Institutional sustainability	Some evidence of enhanced institutional capacity and national and, especially, at Group Level	Highly likely
<b>Factors Affecting Performance</b>		<b>Highly Satisfactory</b>
1. Preparation and readiness	The project started without delay. The evaluator was aware of staffing challenges (that were not limited to the kickoff of the project), but which seemed not to have a great impact on the project implementation, due to synergies with the NAP-GSP project.	Highly satisfactory
2. Quality of project management and supervision	The evaluator found no evidence that the project management and supervision were not of the highest standard.	Highly satisfactory
3. Stakeholders' participation and cooperation	Stakeholders were properly engaged in project design and there is evidence of responsiveness to stakeholder requests during project implementation.	Highly satisfactory
4. Responsiveness to human rights and gender equality	The project was able, through the very limited tools available (soft influencing the national focal point to nominate women to project activities), to exceed the goals for gender balanced.	Moderately satisfactory
5. Environmental and social economic safeguards	While not applicable <i>per se</i> , the project did limit GHG emissions by organizing back-to-back meetings.	Highly satisfactory
6. Country ownership and driven-ness	Stakeholder engagement during project design and adaptive management (namely to requests by the board), ensured ownership.	Highly satisfactory

Criterion	Summary assessment	Rating
7. Communication and public awareness	The project was successful in communicating with stakeholders and beneficiaries. Anecdotal evidence is the continued use of some of the project deliverables (such as some of the publications).	Highly satisfactory
<b>Overall Project Performance Rating</b>		<b>Satisfactory</b>

### C. Lessons learned

<b>Lesson Learned #1:</b>	<b>The coherence and complementarity with other initiatives and efforts were key for sustainable achievement of outcomes and enhanced likelihood of Impact.</b>
<b>Context/comment:</b>	<p>Project design and implementation ensured that the support provided by the project was aligned with existing initiatives which were already receiving support from other sources, namely from bilateral donors.</p> <p>In addition, from a project implementation / management perspective, the project profited from synergies with other GSP projects implemented by UNEP and UNDP. From an agency perspective this allowed for an efficient management and allowed for activities under the different GSP to, when applicable, mutually reinforce each other.</p>
<b>Lesson Learned #2:</b>	<b>An active and agile board allowed for swift decision making and effective adaptive management</b>
<b>Context/comment:</b>	<p>Several interviewees referred to the fact that the board was able to provide effective guidance to the project management and team and that several request that led to adaptive management were either originated at and/or approved by the board.</p> <p>It was also referred to that a GEF representative in the board facilitated the decision-making process.</p>
<b>Lesson Learned #3:</b>	<b>Co-management by UNEP/UNDP contributed to effectiveness and efficiency.</b>
<b>Context/comment:</b>	<p>As alluded to in lesson#1, the co-management by UNDP and UNEP, mirroring to the extent possible the approach to other GSPs, has created important opportunities for efficiency and effectiveness in delivering results.</p> <p>The fact that the project and the NAP-GSP shared managers and teams and the fact that teams were in physical proximity, allowed for an unusually high level of cooperation between UNEP and UNDP teams and between teams of different GSPs.</p> <p>A clear distinction of roles and tasks at design have been important for an effective cooperation between the agencies.</p>
<b>Lesson Learned #4:</b>	<b>17 SSFAs worth ca. USD30k were not the most effective and efficient use of the resources.</b>

<b>Context/comment:</b>	<p>Given the resources available, the support the SSFAs provided each LDC might have not been enough to ensure effective outputs that could lead to sustainable outcomes, given the limited scope of the activities that could be implemented with such resources.</p> <p>The administrative burden associated with 17 SSFAs might have also been disproportionate in relation to the individual and aggregate impact of such agreements.</p>
-------------------------	---

<b>Lesson Learned #5:</b>	<b>Engaging partners already engaged in existing initiatives enhances complementarity and sustainability.</b>
<b>Context/comment:</b>	As part of the efforts to ensure the coherence and complementarity with existing initiatives, the project engaged partners that were already (and some continue to) engaged in providing support to the LDC Group. This not only promoted an efficient and effective use of resources, but also contributed to sustainability as such partners continue to provide support through other financing sources.

## D. Recommendations

<b>Recommendation #1:</b>	<b>Explore opportunities for multilateral support for follow up project, namely through a GEF project.</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	There is no evidence of multilateral support for the effective participation of the LDC Group in the negotiations being planned in the short to medium terms. The LDC work programme includes provisions and the need for such support has been expressed by stakeholders.
<b>Priority Level:</b>	Important
<b>Type of Recommendation</b>	UNEP/UNDP wide and Partners
<b>Responsibility:</b>	UNEP Division Head of Branch and Portfolio Manager / UNDP equivalent
<b>Proposed implementation time-frame:</b>	1 year
<b>Cross-reference(s) to rationale and supporting discussions</b>	Sustainability

<b>Recommendation #2:</b>	<p><b>Identify opportunities to indirectly contribute to sustainability of outcomes and enhanced likelihood of Intermediate State and Impact through activities implemented in other GEF/GCF/UNEP/UNDP projects (e.g. NAP GSP)</b></p> <p>Given the length of the process to design and fund a project to provide multilateral support to the LDC as per recommendation 1 above, it is recommended that UNEP and UNDP identify opportunities in relevant and related initiatives (such as the NAP GSP) to promote the sustainability of the results of this project. Such opportunities are more likely to arise at the level of defining a national position through the collection of experience on the ground and at the</p>
---------------------------	---

	level of thematic training on key negotiation topics, in particular the Global Goal on Adaptation and Loss and Damage.
<b>Challenge/problem to be addressed by the recommendation:</b>	Absence of follow up multilateral support.
<b>Priority Level:</b>	Critical
<b>Type of Recommendation</b>	UNEP/UNDP wide
<b>Responsibility:</b>	UNEP Division Head of Branch and Portfolio Manager / UNDP equivalent
<b>Proposed implementation time-frame:</b>	On-going
<b>Cross-reference(s) to rationale and supporting discussions</b>	Sustainability

<b>Recommendation #3:</b>	<b>The donor community to continue to provide financial support for the coordination of the LDC Group and to include activities aimed at building capacity of negotiators in ongoing or new initiatives not directly aimed at supporting negotiators</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	The potential financial risk to sustainability of outcomes can be mitigated through a renewed commitment by the donor community.
<b>Priority Level:</b>	Important
<b>Type of Recommendation</b>	Partners
<b>Responsibility:</b>	Donor community (bilateral and multilateral)
<b>Proposed implementation time-frame:</b>	Ongoing
<b>Cross-reference(s) to rationale and supporting discussions</b>	Sustainability

<b>Recommendation #4:</b>	<p><b>Continued use of project outputs and other instruments to enhance sustainability.</b></p> <p>The project has delivered or supported a set of outputs and instruments that do not require extensive resources to be maintained and that are vital for the sustainability of outcomes and likelihood of impact. As such, it is recommended that the LDC Group, to the best of its capability:</p> <ul style="list-style-type: none"> <li>• Continues to update and use the website as a major communication hub</li> <li>• Uses experience gained during the pandemic with the use of virtual platforms to enhance the coordination and knowledge sharing among negotiators</li> </ul>
---------------------------	--

	<ul style="list-style-type: none"> <li>Continues to incentivize the Elders to share knowledge with junior negotiators</li> <li>Enhances peer to peer cross-national cooperation and knowledge sharing</li> </ul>
<b>Challenge/problem to be addressed by the recommendation:</b>	Sustainability might be compromised if the knowledge networks don't function effectively and the knowledge products are no longer used by negotiators, junior negotiators in particular.
<b>Priority Level:</b>	Medium
<b>Type of Recommendation</b>	Partners
<b>Responsibility:</b>	LDC Group (chair)
<b>Proposed implementation time-frame:</b>	Ongoing
<b>Cross-reference(s) to rationale and supporting discussions</b>	Sustainability

<b>Recommendation #5:</b>	<p><b>Act on key variables that enhance sustainability of outcomes and likelihood of impact.</b></p> <p>This recommendation to the governments of LDCs tries to identify key areas which are not financial resource intensive and that can make a significant contribution to sustainable capacity building at the country level:</p> <ul style="list-style-type: none"> <li>Create mechanisms to ensure slower negotiator turnover</li> <li>Create mechanisms to ensure transfer of knowledge between senior and junior negotiators</li> <li>Enhance knowledge management mechanisms and information systems, in particular those designed and/or developed under this project, namely in such a way as to link on the ground experiences with the negotiation positions</li> <li>Identify opportunities to build capacity on negotiations in the context of internationally supported projects, namely through training and knowledge creation and management</li> <li>Allocate budget to sustain LDC Group coordination</li> </ul>
<b>Challenge/problem to be addressed by the recommendation:</b>	While the project focused mostly on the LGC Group at which level there is evidence of sustainable capacity building, at the national level the challenges to sustainability are higher and more complex.
<b>Priority Level:</b>	Important
<b>Type of Recommendation</b>	Partners
<b>Responsibility:</b>	Governments of LDCs
<b>Proposed implementation time-frame:</b>	Ongoing

<b>Cross-reference(s) to rationale and supporting discussions</b>	Effectiveness and Sustainability
---	----------------------------------

<b>Recommendation #6</b>	<p><b>The donor community to provide support to LDCs to address the national constraints and barriers that limit the effectiveness of the LDCs participation in the UNFCCC negotiations.</b></p> <p>This project was only able to support 17 LDCs in addressing national constraints and barriers to the participation in the negotiations, namely by supporting the establishment of coordination and information management systems. The donor community should continue to support these countries that received support under this project, by promoting the implementation of the systems designed and should support the remaining countries, replicating, where applicable, the support provided to the original 17 countries under this project.</p>
<b>Challenge/problem to be addressed by the recommendation:</b>	Key barriers and constraints to the effective participation of LDCs in the negotiations are rooted at the national level. Findings of this evaluation show that in many countries these still remain and need to be tackled to promote the sustainability of results and the effective participation of the LDC Group in the negotiations.
<b>Priority Level:</b>	Important
<b>Type of Recommendation</b>	Partners
<b>Responsibility:</b>	Donor community
<b>Proposed implementation time-frame:</b>	Ongoing
<b>Cross-reference(s) to rationale and supporting discussions</b>	Quality of Project Design, Effectiveness and Sustainability

<b>Recommendation #7:</b>	<b>Improve project reporting for projects that are jointly implemented</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	<p>UNEP and UNDP prepared separate PIRs throughout the project, each accounting for its own responsibilities, both in terms of project activities as well as financing.</p> <p>This approach made the evaluation more difficult as information was not readily available for the whole project, but rather for each of the agencies.</p> <p>This issue could have been overcome if the Final Report foreseen in the ProDoc had been prepared.</p>
<b>Priority Level:</b>	Opportunity for Improvement
<b>Type of Recommendation</b>	UNEP/UNDP wide
<b>Responsibility:</b>	UNEP Division Head of Branch and Portfolio Manager / UNDP equivalent

<b>Proposed implementation time-frame:</b>	Ongoing
<b>Cross-reference(s) to rationale and supporting discussions</b>	Financial Management and Monitoring and Reporting

<b>Recommendation #8:</b>	<b>Improve final financial reporting, through the timely preparation of a final comprehensive financial report.</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	At the time of the Terminal Evaluation the final financial reporting was not available. In addition, as with other aspects of project implementation, reporting on expenditures was performed separately by UNEP and UNDP, this has hindered the evaluation of the financial performance of project implementation
<b>Priority Level:</b>	Critical
<b>Type of Recommendation</b>	UNEP/UNDP wide
<b>Responsibility:</b>	UNEP Division Head of Branch and Portfolio Manager / UNDP equivalent
<b>Proposed implementation time-frame:</b>	Ongoing
<b>Cross-reference(s) to rationale and supporting discussions</b>	Financial Management and Monitoring and Reporting

<b>Recommendation #9:</b>	<b>Improve management and effectiveness of small-scale financing agreements in future UNEP and/or UNDP projects</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	The effectiveness of small-scale financing agreements can be limited especially when the scarce resources are not attractive enough to ensure country buy-in. The use of large numbers of small grants in regional/global projects should be complemented by sufficient dedicated support at the project level and, more importantly, it should be designed so as to demonstrably complement ongoing initiatives.
<b>Priority Level:</b>	Opportunity for Improvement
<b>Type of Recommendation</b>	UNEP/UNDP wide
<b>Responsibility:</b>	UNEP Division Head of Branch and Portfolio Manager / UNDP equivalent
<b>Proposed implementation time-frame:</b>	Ongoing
<b>Cross-reference(s) to rationale and supporting discussions</b>	Efficiency



## ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

**Table 16: Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate**

Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
Page 4	UNDP – we suggest to add “lessons learned and knowledge sharing among UNEP....and UNDP	Integrated	agree
Page 7  Planned project budget at approval:  USD19,232,380	UNDP:  Perhaps, this could also be presented in breakdown budget:  UNEP LDCF budget: 2,000,000 USD  UNDP LDCF budget: 2,000,000 USD  Co-financing: 15,232,380 USD  Total: 19,232,380 USD	Integrated	
Page 7  Actual Environment Fund expenditures reported as of [date]:	UNDP: Actual expenditure needs to be reflected.  UNDP actual expenditure is provided as 1,999,996 as of 2019. Signed final budget revision attached.	Integrated	agree
Page 9	UNDP  The Executive summary is to be provided. In this report, the information is missing	Included	yes

Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
The Executive summary is to be provided			
Page 31	Suggestion to insert rating table	Included in executive summary	No need it will feature in the executive summary
Page 47/48	<p>UNDP:</p> <p>Table 11 - Missing information on co-financing:</p> <p><b>USD 17,788,826 confirmed implemented through Government of Germany contribution to</b></p> <p>UN Environment/UNDP/WRI Green Climate Fund (GCF) Readiness Programme" PIMS ID 1713</p> <p><b>Start dates: Dec 2013</b></p> <p><b>End date: December 2018</b></p>	Value of the project is updated. Total co-financing is now USD21,162,826	To include
<p>Page 49</p> <p><b>2. Completeness of project financial information:</b></p> <p>B. Revisions to the budget</p>	<p>UNDP</p> <p>Is it possible to provide some comment on budget revision?</p>	The evaluator has no specific, meaningful comment to neither the information received nor the actual revision.	A document has been provided evaluator to reference as appropriate

Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
Annexes	<p>UNDP</p> <ul style="list-style-type: none"> <li>- Annex I, it does not seem complete</li> <li>- Suggestion that these can be included as annexes: <ul style="list-style-type: none"> <li>- Samples of interview questions</li> <li>- Summary of Rating scale</li> </ul> </li> </ul>	<p>An annex with sample interview questions has been created.</p> <p>An annex with a summary of the rating scale has not been included as this can be found in the Evaluation Tools.</p> <p>Otherwise, the annexes are in accordance with the guidance.</p>	<p>Annex 1 is completed after the commenting process with comments not fully adopted</p> <p>Check Annexes are complete, as per UNEP guidance</p>
Page 20, F. Project financing, para 49	<p>...'co-finance (in-kind) <b>donations</b> valued at'...</p> <p>I don't believe 'donations' is the right term here. Suggest replacing with 'contributions' or deleting the word.</p>	Word deleted	agree
Page 38, Availability of outputs, 1.4	Typographical error – '...long term strategy <b>of</b> the LDC <b>s</b> ' (f and s missing).	Corrected	To correct
Page 46, Completeness of financial information, quote	Suggest replacing 'PIMS' by 'Project tracking system' so as not to attribute the quote to one agency or the other.	Accepted	Seems reasonable, but evaluator to decide
Page 50, para 155, quote	Typographical error - There are 2 Ns in DON <b>N</b> ORS	Corrected	To correct
Page 66, Table 16	Affiliations – Prakash Bista was formerly with UNEP and Soumya Bhattacharya is currently with UNEP.	Corrected	To correct

## ANNEX II. PEOPLE CONSULTED DURING THE EVALUATION

**Table 17: People consulted during the Evaluation**

Organization	Name	Position	Gender
UNEP	Jessica Troni	Task Manager	F
UNDP	Mozaharul Alam	RTA	M
UNDP	Yusuke Taishi	RTA	M
UNEP	Soumya Bhattacharya	Executing Team	M
UNEP (formerly)	Prakash Bista	Executing Team	M
UNDP	Rohini Kohli	Executing Team and Fund Management Officer	F
UNITAR	Angus Mackay	Project Partner	M
IIED	Janna Tenzing	Project Partner	F
IIED (formerly)	Achala Abeysinghe	Project Partner	F
LDC Chair (former)	Tosi Mpanu Mpanu	Beneficiary	M
LDC Chair (former)	Giza Gaspar-Martins	Beneficiary	M
LDC Group Gender Coordinator	Stella Gama	Beneficiary	F
LEG Chair (former)	Batu Uprety	Advisor	M
Independent	Lowine Stella Hill	Consultant	F

### ANNEX III. SAMPLE OF INTERVIEW QUESTIONS

#### Sample questions for the interview of a project beneficiary

##### **Strategic Relevance**

- To what extent were project objectives and implementation strategies consistent with the LDC Group needs and priorities, including environmental priorities?

##### **Effectiveness: Availability of Outputs, Achievement of Project Outcomes and Likelihood of Impact**

- To what extent have project outputs contributed towards the expected outcomes?
- To what extent was the UNEP/UNDP fundamental to the achievement of the outcomes (to which degree is the achievement of the outcomes attributed to the intervention)?
- To what extent was climate change negotiation capacity built in LDCs? What factors enhanced/limited the project's capacity-building efforts of climate change negotiations?
- To what extent was did the project enable LDCs to prepare, coordinate and defend a common negotiation position in the run up to and after the adoption of the Paris Agreement?
- To what extent was did the project enable LDCs to prepare INDCs in the run up to COP21 and to update them since?
- To what extent has the project developed national and international knowledge networks? And how have these networks contributed to the effective dissemination and exchange of knowledge products on climate change and climate change negotiations?
- To what extent was did the project enable LDCs to integrate climate change mitigation and adaptation measures such as REDD+ and CDM into national strategies?
- To what extent was did the project enable LDCs increase the allocation of national resources and to access international support, including financial support, for the planning and implementation of climate policies?

##### **Sustainability**

- *Institutional:* To what extent is the sustenance of the results and progress towards impact dependent on national institutional frameworks and governance? To what extent are institutional governance structures and capacities in place to sustain engagement in negotiations, implementation of decisions and knowledge management, including networks?
- *Financial:* To what extent is the continuity of project results and their impact dependent on continued financial support? Will adequate financial resources be made available to ensure the continuity of preparation and engagement in UNFCCC negotiations and in preparing and supporting knowledge networks?

##### **Factors affecting Project Performance**

- What approaches were used to identify and engage stakeholders in project design and implementation? What specific measures were taken to identify and engage potentially excluded groups such as women, disabled persons, indigenous people and vulnerable communities?
- What were the completed gender-responsive measures and, if applicable, actual gender result areas? How were women incentivized to participate in the trainings? Were gender sensitive issues included in the trainings? Were gender sensitive materials and knowledge created?

## Sample questions for the interview of a project team member

### ***Effectiveness: Availability of Outputs, Achievement of Project Outcomes and Likelihood of Impact***

- To what extent have project outputs contributed towards the expected outcomes?
- To what extent have project outcomes been achieved by the end of the project timeframe?
- To what extent was the UNEP/UNDP fundamental to the achievement of the outcomes (to which degree is the achievement of the outcomes attributed to the intervention)?
- To what extent has the project developed national and international knowledge networks? And how have these networks contributed to the effective dissemination and exchange of knowledge products on climate change and climate change negotiations?
- To what extent was did the project enable LDCs to integrate climate change mitigation and adaptation measures such as REDD+ and CDM into national strategies?
- To what extent was did the project enable LDCs increase the allocation of national resources and to access international support, including financial support, for the planning and implementation of climate policies?

### ***Sustainability***

- *Socio-political:* Are there any social or political factors that influence positively or negatively the sustenance of project results and impacts?
- *Institutional:* To what extent is the sustenance of the results and progress towards impact dependent on national institutional frameworks and governance? To what extent are institutional governance structures and capacities in place to sustain engagement in negotiations, implementation of decisions and knowledge management, including networks?

### ***Efficiency***

- Did the project face any obstacles (financial, administrative, managerial) and to what extent has this affected its efficiency?
- To what extent has the project to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects?

### ***Factors affecting Project Performance***

- Were there any changes that impacted the context between project design and project implementation? If so, what measures were adopted?
- What approaches were used to identify and engage stakeholders in project design and implementation? What specific measures were taken to identify and engage potentially excluded groups such as women, disabled persons, indigenous people and vulnerable communities?
- What were the completed gender-responsive measures and, if applicable, actual gender result areas? How were women incentivized to participate in the trainings? Were gender sensitive issues included in the trainings? Were gender sensitive materials and knowledge created?
- Have any financial management issues affected the timely delivery of the project or the quality of its performance?
- Was the communication between the Project/Task Manager and the Fund Management Officer efficient and effective?

## ANNEX IV. KEY DOCUMENTS CONSULTED

### Project planning and reporting documents

- Project Document (ProDoc)
- Amendment to ICA (extension of the project)
- Project Board Meetings (materials, presentations and minutes where applicable and available) for
  - 2016,
  - 2017,
  - 2018,
  - 2019,
  - 2020
- UNDP PIR
  - 2016,
  - 2017,
  - 2018<sup>18</sup>
- UNDP 2018 Project Implementation Quality Assurance fiche
- UNEP PIR
  - 2016,
  - 2017,
  - 2018,
  - 2019,
  - 2020
- UNEP Half Yearly Progress Reports
  - 2015,
  - 2016,
  - 2017

### Project outputs – Overall

- Building Capacity for LDCs to Participate Effectively in Intergovernmental Climate Change Processes (Achievements 2014-2017)

---

<sup>18</sup> The 2018 PIR was made available upon request, as it was not included in the document package received in the beginning of the TE.

## **Project outputs under component 1: The role of LDCs in intergovernmental climate change negotiations**

- E-Learning for LDC Negotiators
  - Report on the First E-Learning Event
  - Report on the Second E-Learning Event
- Publications<sup>19</sup>
  - Becoming a UNFCCC Delegate: What you Need to Know<sup>20</sup>
  - Climate Change Negotiations Terminology: The Pocket Guide<sup>21</sup>
  - A Guide to Transparency Under the UNFCCC and Paris Agreement. Reporting and Review: obligations and opportunities<sup>22</sup>
  - National Adaptation Plans: Understanding Mandates and Sharing Experiences
  - Options for the Legal Form of the Paris Outcome
  - Paris Agreement and the LDCs: Analysing COP21 Outcomes from LDCs Positions<sup>23</sup>
  - A Study of the LDC Capacity at the UNFCCC
- Other Documents
  - Evaluation Report of the Seminar for LDC Coordinators and Negotiators
  - Evaluation Report of the Training for LDC Negotiators (Climate Change Negotiations Skills) – 2015
  - Snapshots of the LDC Group Website
  - Working Paper in Financing Options for LDC Group on Climate Change
  - Agendas and Press Releases of LDC Group meetings supported by the project

## **Project outputs under component 2: National systems/institutions for coordinating climate change information in LDCs**

- A comprehensive set of documents / outputs related to the support provided for setting up national systems in the following countries: Benin, Cambodia, Haiti, Lesotho, Liberia, Malawi, Myanmar, Nepal, Senegal, South Sudan, Sudan, Uganda, Yemen.
- Reports on Climate Change Coordination Mechanisms for Lesotho, Malawi, Liberia, South Sudan and Yemen

---

<sup>19</sup> Some of these publications are also related to outputs under other components and are not repeated elsewhere

<sup>20</sup> And French Translation

<sup>21</sup> And French Translation

<sup>22</sup> And French Translation

<sup>23</sup> And French Translation



### **Project outputs under component 3: Knowledge management**

- Survey Report on Maintenance of Knowledge Networks
- Snapshots of the LDC Group Website

### **Previous evaluations**

- Mid-Term Review – Final Report

### **Reference documents**

- UNEP Medium Term Strategy for 2010-2013
- UNEP Medium Term Strategy 2014-2017
- Programme of Work 2012-2013
- Programme of Work 2014-2015
- Programme of Work 2016-2017
- UNDP 2014-2017 Strategic Plan
- UNDP 2018-2021 Strategic Plan

## ANNEX V. BRIEF CV OF THE EVALUATOR

**Name: Gonalo Nuno Pera Cavalheiro**

<b>Profession</b>	Consultant (Climate Change)
<b>Nationality</b>	Portuguese
<b>Country experience</b>	<ul style="list-style-type: none"> <li>• Europe: Serbia, North Macedonia, Portugal, European Union</li> <li>• Africa: Mozambique, Cape Verde, So Tome and Prince, Angola, Kenya</li> <li>• Americas: Peru, Brazil, Mexico</li> <li>• Asia: Thailand, Viet Nam, China, India, Indonesia, Philippines, ASEAN</li> <li>• Oceania: Australia, New Zealand</li> </ul>
<b>Education</b>	<ul style="list-style-type: none"> <li>• Masters in International Relations</li> </ul>

### Short biography

Mr. Cavalheiro is an independent Gonalo climate change consultant. He holds a graduate degree in International Relations and has over 22 years of professional experience on all aspects of climate change policy, both related to adaptation and mitigation.

He has been actively involved in the international negotiations relating to the United Nations Convention on Climate Change and the Kyoto Protocol, as a member of the Portuguese National Delegation (from 1999 to 2008 and in 2020-2021), and as member of the delegation of the European Union (2011-2014).

Key specialties and capabilities cover:

- Technical assistance to the definition of strategies, plans, policies and measures on climate change and climate change related environmental issues
- Technical assistance, capacity building, training and facilitation
- Stakeholder engagement in policy making process
- Support to decision making on selection of policies and measures based on multi-criteria analysis (MCA), including stakeholder led MCA
- Trainer and facilitator in international and multicultural environments
- Facilitation of meeting in a virtual context, including with international participants
- Negotiations in an international environment
- Project design, implementation and Monitoring & Evaluation.
- Leadership and initiative
- Cultural, gender, religion, race, nationality and age sensitivity and adaptability

### Selected assignments and experiences

**Independent evaluations:**

- Team Leader of the Terminal Evaluation of the GEF-UNDP Project “Capacity Development for Improved Implementation of Multilateral Environmental Agreements”.
- Terminal Evaluation of GEF project in Mexico: “Integrated responses to short lived climate forcers promoting clean energy and energy efficiency.”
- Terminal Evaluation of the GEF project “Mitigation Options for Greenhouse Gas Emissions in Key Sectors in Brazil”.

## ANNEX VI. EVALUATION TORS (WITHOUT ANNEXES)

### TERMS OF REFERENCE

**Terminal Evaluation of the UNEP/UNDP/GEF ID 1215 Building Capacity for LDCs to participate effectively in intergovernmental climate change processes” project**

### Section 1: PROJECT BACKGROUND AND OVERVIEW

#### 1. Project General Information

**Table 1: Project Summary**

<b>GEF Project ID:</b>	1215		
<b>Implementing Agency:</b>	UNEP: Ecosystems Division UNDP	<b>Executing Agency:</b>	UNEP: Regional Office for Asia and the Pacific UNDP -
<b>Relevant SDG(s) and indicator(s):</b>	SDG 13, in particular to performance against indicators 13.3 “Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning” and 13.b “Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities.		
<b>Sub-programme:</b>	UNEP: Climate Change	<b>Expected Accomplishment(s):</b>	UNEP: (a) Countries increasingly advance their national adaptation plans which integrate ecosystem-based adaptation (ii) Increase in the number of countries that have technical capacity to integrate ecosystem based management into national adaptation plans
<b>UNEP approval date:</b> <b>UNDP approval date</b>	13 Jan 2015 23 October 2014	<b>Programme of Work Output(s):</b>	UNEP: 2012-2013
<b>GEF approval date:</b>	7 <sup>th</sup> August 2014	<b>Project type:</b>	Full Size Project
<b>GEF Operational Programme #:</b>	5615	<b>Focal Area(s):</b>	Climate Change

		<b>GEF Strategic Priority:</b>	Climate Change adaptation
<b>Expected start date:</b>		<b>Actual start date:</b>	1 <sup>st</sup> October 2014
<b>Planned completion date:</b>	31 May 2017	<b>Actual operational completion date:</b>	UNEP: UNDP: Dec 2018
<b>Planned project budget at approval:</b>	USD 19,232,380	<b>Actual total expenditures reported as of [date]:</b>	USD 1,900,002
<b>GEF grant allocation:</b>	USD 4,000,000	<b>GEF grant expenditures reported as of [date]:</b>	
<b>Project Preparation Grant - GEF financing:</b>		<b>Project Preparation Grant - co-financing:</b>	
<b>Expected Full-Size Project co-financing:</b>	USD 15,232,380	<b>Secured Full-Size Project co-financing:</b>	USD 15,232,380
<b>First disbursement:</b>	30 December 2014	<b>Planned date of financial closure:</b>	Q4 of 2020
<b>No. of formal project revisions:</b>		<b>Date of last approved project revision:</b>	Project Board meeting on 28/02/2020
<b>No. of Steering Committee meetings:</b>	5	<b>Date of last/next Steering Committee meeting:</b>	Last: 28/02/2020 Next:
<b>Mid-term Review (planned date):</b>	Q2 2018	<b>Mid-term Review (actual date):</b>	28 Feb 2018
<b>Terminal Evaluation (planned date):</b>	Q4 2019	<b>Terminal Evaluation (actual date):</b>	
<b>Coverage - Countries:</b>	Uganda, Sudan, Cambodia, Senegal, Kiribati, Tuvalu, Haiti, Benin, Bhutan, Nepal, Timor Leste, Myanmar, Lesotho, Liberia, South Sudan, Yemen, and Malawi	<b>Coverage - Region(s):</b>	Africa, the Caribbean, Asia and the Pacific
<b>Dates of previous project phases:</b>		<b>Status of future project phases:</b>	

## 2. Project rationale

- At the time of the project design (2011), 48 countries were categorized as Least Developed based on their gross national income, weak human assets and economic vulnerability. According to the International Panel on Climate Change (IPCC)'s Fifth Assessment Report (AR5), the effects of climate change and variability further exacerbate the socio-economic and environmental problems that Least Developed Countries (LDCs) already face, including financial constraints, technical capacity constraints, political instability, regional conflicts and

ecosystem degradation, depriving large sections of populations of their livelihoods and thus remaining in poverty.

2. Decisions taken at intergovernmental climate change negotiations, such as the United Nations Framework Convention on Climate Change (UNFCCC) are of significance for the global response to climate change. Many international decisions on climate change policies are implemented without adequate participation from LDCs due to insufficient technical capacity and resources to effectively represent their countries in the UNFCCC processes and are further exacerbated by: i) increased pace of UNFCCC negotiations; ii) increased number of topics, agendas, and institutions being negotiated; and iii) insufficient institutional capacity of LDCs to follow these negotiations.
3. In 2001, at COP-7 (decision 5/CP.7), six priority needs were identified for LDCs to i) strengthen existing national climate change secretariats and/or focal points to enable the effective implementation of the UNFCCC and its Kyoto Protocol in LDCs; ii) provide training, on an ongoing basis, in negotiating skills and language; iii) support the preparation and implementation of National Adaptation Programmes of Adaptation (NAPAs); iv) promote public-awareness programmes to ensure the dissemination of information on climate change issues; v) develop and transfer of technology, particularly adaptation technology in accordance with Decision 4/CP.7; and vi) strengthen the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support the implementation of NAPAs.
4. In 2011 at COP-17, it was realised that most of the Least Developed Countries Fund (LDCF) resources had been directed to the third point – supporting the preparation and implementation of the NAPAs – and that specific support was required to enable LDCs to participate more effectively in the UNFCCC processes, decision-making and implementation of decisions.
5. Decisions 5/CP.144 and 5/CP.165 requested the Global Environment Fund (GEF) Secretariat, in close collaboration with Least Developed Countries Expert Group (LEG) to implement a Global Support Programme (GSP) to focus on addressing the shortfalls in institutional and technical capacities that prevent LDCs from assuming greater ownership of the implementation of the UNFCCC; and establish sustainable institutional arrangements for co-ordinating their adaptation and mitigation efforts based on national priorities, including capitalizing financial assistance (eg Reducing Emissions from Deforestation and Forest Degradation in developing countries (REDD+) and Clean Development Mechanism (CDM)) made available to them through the UNFCCC processes, decision-making and implementation of decisions. This LDCF project was co-implemented and co-executed by United Nations Development Programme (UNDP) together with United Nations Environment Programme (UNEP) as GEF Agencies between 2014 and 2020 in the 48 LDCs.

### **3. Project objectives and components**

6. The project's goal was to "support LDCs to effectively engage in and implement the outcomes of intergovernmental climate change negotiations"; and its objective was to "strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts".
7. The project was made up of three main components:
8. The role of LDCs in intergovernmental climate change negotiations (UNDP);
9. National systems/institutions for co-ordinating climate change information in LDCs (UNEP); and

10. Knowledge Management (UNDP and UNEP).

11. Table 2 below summarises the outcomes and outputs and the budget allocated to them as per the project document (2013).

**Table 2: Project Outcomes and Outputs as per the ProDoc (2013)**

Outcome	Output
1: Capacity of LDCs to participate effectively in intergovernmental climate change negotiation is strengthened (UNDP)	1.1 Negotiators from each LDC have enhanced diplomacy skills and critical information on key issues underpinning the negotiations in order to formulate their own negotiation positions pertaining to UNFCCC negotiation topics.
	1.2 Negotiators from LDCs have increased technical knowledge pertaining to negotiation topics
	1.3 A community of practice to support LDCs to interpret and respond to negotiation outcomes
	1.4 A long-term operational strategy for the LDC Group to co-ordinate responses/submissions and participate in parallel negotiation topics
2. Institutional capacity of LDCs to collect, interpret, and disseminate climate change data and information is strengthened. (UNEP)	2.1 Support provided for formulation of country specific institutional co-ordination strategies for effective participation in intergovernmental climate change negotiations and facilitation of dissemination of relevant information emanating from the negotiations
	2.2 Technical assistance and guidance provided for the development of national systems for managing climate change information and data to support reporting under the UNFCCC
3. Knowledge Products generated by the project are accessible and available	3.1 Knowledge products generated through the project are translated and available on an appropriate knowledge platform. (UNDP)
	3.2 Strategy to sustain knowledge is generated by the project including through the South-South Co-operation (UNEP).

#### 4. Executing Arrangements

12. The project was to be co-implemented by UNEP and UNDP as the GEF Implementing Agencies responsible for the project and budget oversight, as well as serve on the Project Board as co-chairs.
13. Outcome 1 and Outcome 3/Output 3.1 were to be executed under UNDP's Direct Implementation Modality (DIM) through the UNDP Asia Pacific Regional Centre, with a Technical Specialist to undertake the day-to-day management of the project.
14. Outcome 2 and Outcome 3/Output 3.2 were to be executed through UNEP's Regional Office Asia Pacific with oversight from the Ecosystems Division (previously DEPI), with a Technical Specialist to undertake the day-to-day management of the project.
15. A single Project Board was to be the strategic decision-making body of the project to provide overall guidance and direction to the project and be responsible, when high-level strategic guidance is required for making decisions on a consensus basis, including the approval of annual workplans, major revisions to the project strategy or implementation approach. Meetings were to take place once a year within the margins of UNFCCC events and/or LEG

events and/or virtually. The project board was to be made up of: UNDP GEF Task Manager as Co-chair, UNEP GEF Task Manager as Co-chair, a representative each from UNFCCC secretariat and LEG, the LDC group chair and two representatives from countries by the initiative (selected by UNFCCC Secretariat and the LEG) – representing the beneficiary LDC negotiators, and other relevant stakeholders may participate in meetings as observes as needed.

16. A Technical Support Unit was to be set up to manage to the day-to-day management of the project, including preparing work plans and delivering approved plans. It was to be made up of a Senior Technical Specialist (UNDP), two technical specialists (UNDP and UNEP), and a project assistant (UNEP).
17. A Terminal Evaluation was to be managed jointly by UNEP and UNDP Evaluation Offices in accordance with UNEP, UNDP and GEF guidance. The UNEP Evaluation Office was to, however, lead the Terminal Evaluation (TE) and was to liaise with the UNDP Evaluation Office throughout the process to jointly decide on key decision points in the evaluation process
18. Figure 1 shows the proposed project organization structure at project design.

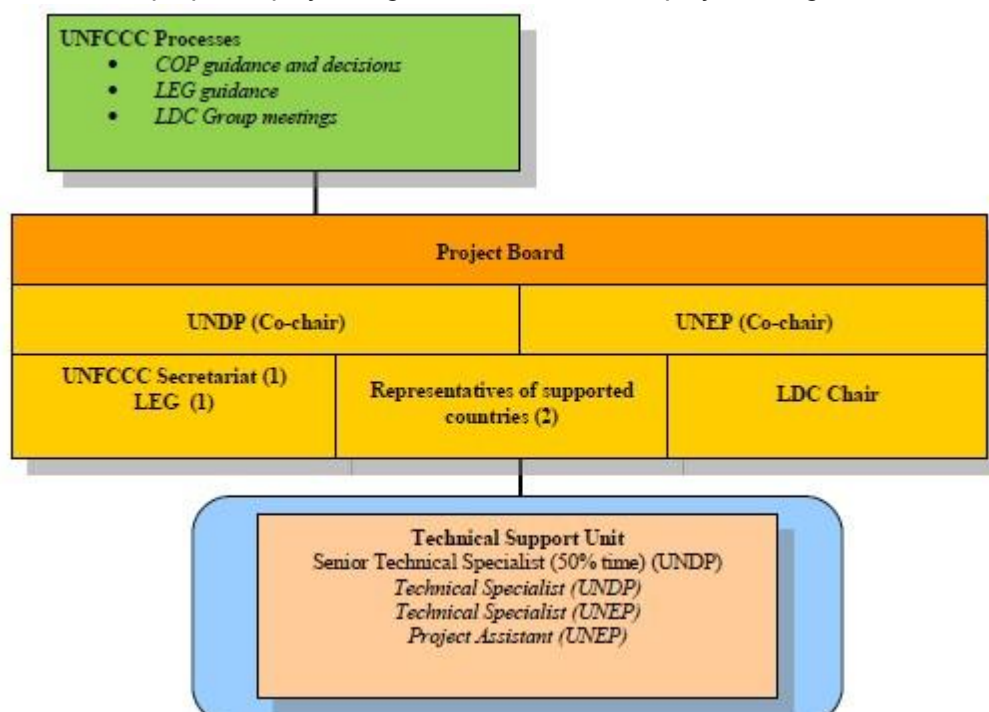


Figure 1: Proposed project organisation structure (Prodoc 2013)

## 5. Project Cost and Financing

19. The total estimated project at design was USD 19,232,380 , of which USD 4,000,000 was to come from the GEF LDCF, co-finance (in-kind) donations valued at USD 15,232,380 (USD 120,000 from the Knowledge, Innovation and Capacity Group (UNDP-KCIG) Initiatives; USD 54,000 from UNITAR's elearning course; USD 1,000,000 from UNITAR's UN CC:Learn platform; USD 300,000 from National Implementing Entities Direct Access (UNEP-NIE); USD 11,858380 from UNEP/UNDP-GCF Readiness project; USD 200,000 from UNDP-Adaptation Learning Mechanism; USD 700,000 from Asia-Pacific Adaptation Network (UNEP-APAN) and the Africa Adaptation Knowledge Network (UNEP-AAKNET); and USD 1,000,000 from the Climate Technology Centre and Network (UNEP-CTCN).



20. Table 3 and Table 4 below breaks down the project cost at design broken down by component and funding sources.

**Table 3: Project Costs at Design (Prodoc 2013)**

Component	UNDP (USD)	UNEP (USD)	Total (USD)
Component 1: The role of LDCs in intergovernmental climate change negotiations (overseen by UNDP)	1,687,000	-	1,687,000
Component 2: National systems/institutions for coordinating climate change information in LDCs (overseen by UNEP)	-	1,373,818	1,373,818
Component 3: Knowledge management (overseen jointly by UNDP and UNEP)	156,000	409,818	565,818
Project Management	157,000	156,364	313,364
M&E	-	60,000	60,000
Total	2,000,000	2,000,000	4,000,000

**Table 4: Co-Finance at Project Design (Prodoc 2013)**

Co-financing Initiative	Type of Co-financing	Amount (USD)
UNDP-KCIG initiatives	In-kind	120,000
UNITAR's e-Learning course Climate Change Diplomacy	In-kind	54,000
UNITAR's One UN Training Service Platform on Climate Change (UN CC:Learn)	In-kind	1,000,000
UNEP- NIE direct access project	In-kind	300,000
UNEP/UNDP-GCF Readiness Project	In-kind	11,858,380
UNDP-Adaptation Learning Mechanism	In-kind	200,000
UNEP-APAN & UNEP-AAKNet	In-kind	700,000
UNEP- CTCN	In-kind	1,000,000
Total		15,232,380

## 6. Implementation Issues

21. There were several delays in the project start and implementation due to various reasons, some beyond the control of the project team. As a result there were 4 no-cost extensions to the project that were that were approved at the 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup> and 5<sup>th</sup> Board Meetings. The first

was till August 2018 approved by the Board on 21st May 2016; the second extension till 30 June 2019, approved by the board on 2nd February 2018 ; the third was till December 2019 approved by the board on 21st February 2019; and the fourth extension till 30th June 2020 was approved by the board on 28th February 2020 to allow UNEP to complete some activities under component 2.

22. The Mid-Term Review was carried out from March to May 2018, as per GEF requirements. While the overall rating of the project was 'satisfactory', 9 recommendations were suggested.
23. It is worth noting that while this was a jointly implemented project between UNEP and UNDP, UNDP completed its activities by Dec 2018 as noted in the 4<sup>th</sup> Board Meeting, and no cost extension was granted to UNEP to complete the activities by June 2020.

## Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

### 7. Objective of the Evaluation

24. In line with the UNEP Evaluation Policy<sup>1</sup>, UNEP Programme Manual<sup>2</sup>, UNDP Evaluation Guidelines<sup>3</sup> and the Guidance for Terminal Evaluations of UNDP-supported GEF-financed Projects<sup>4</sup>, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP, GEF, UNITAR, the International Institute for Environment and Development (IIED) and LDC group on Climate Change (including past chairs – Angola, Democratic Republic of Congo, Bhutan and Ethiopia). Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially for the second phase of the project, where applicable

### 8. Key Evaluation Principles

25. Evaluation findings and judgements will be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.
26. **The "Why?" Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the "Why?" question should be at the front of the consultants' minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant(s) needs to go beyond the assessment of "what" the project performance was and make a serious effort to provide a deeper understanding of "why" the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.
27. **Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved

project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

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

## 9. Key Strategic Questions

29. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and UNDP and to which the project is believed to be able to make a substantive contribution:
  - a. To what extent was climate change negotiation capacity built in LDCs? What factors enhanced/limited the project's capacity-building efforts of climate change negotiations?
  - b. To what extent has the project developed national and international knowledge networks? And how have these networks contributed to the effective dissemination and exchange of knowledge products on climate change and climate change negotiations?
  - c. To what extent was did the project enable LDCs to integrate climate change mitigation and adaptation measures such as REDD+ and CDM into national strategies?
  - d. To what extent did the joint UNEP/UNDP project implementation enhance the delivery of outputs and increase the capacity of LDCs to effectively participate in intergovernmental climate change negotiations? What were the lessons learned that could be used for better jointly implemented UN Agency approaches going forward?
  - e. To what extent, and with what success, were the recommendations from the mid-term assessment taken up in the latter part of the project's implementation?
  - f. What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?
30. Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report**:
  - (a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided).

(b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO*

*Endorsement/Approval)*

(c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? (This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent) (d) Under Factors Affecting Performance/Environmental and Social Safeguards:

What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)*

(e) Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management

Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development);

Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

## 10. Evaluation Criteria

31. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultant(s) can propose other evaluation criteria as deemed appropriate.

### A. Strategic Relevance

32. The evaluation will assess 'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'. The evaluation will include an assessment of the project's relevance in relation to UNEP and UNDP's mandate and its alignment with UNEP and UNDP's policies and strategies at the time of project approval. Under strategic relevance

an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

**i. Alignment to the UNEP (Medium Term Strategy<sup>24</sup> (MTS), Programme of Work (POW)) and Strategic Priorities of UNEP and UNDP.**

33. The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>25</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.
34. UNDP strategic priorities include – The programme was designed to contribute to outcome 1 of UNDP's 2014-2017 Strategic Plan ("Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded") CP outcome "National capacities are strengthened to mainstream climate change policies into national development plans. It also contributes to the UNDP 2018-2021 Strategic Plan, solution 4: Promote nature-based solutions for a sustainable planet, Contributing SP Outcomes:

1: advance poverty eradication in all its forms and dimensions

2: accelerate structural transformations for sustainable

development 3: strengthen resilience to shocks and crisis

**ii. Alignment to Donor/GEF/Partner Strategic Priorities**

35. Donor, including GEF, strategic priorities will vary across interventions. GEF priorities are specified in published programming priorities and focal area strategies. The Evaluation will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

**iii. Relevance to Global, Regional, Sub-regional and National Environmental Priorities**

36. The evaluation will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: national or sub-national development plans, poverty reduction strategies or National Adaptation Plans (NAPs) or National Adaptation Programme of Adaptation (NAPA) or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be

---

<sup>24</sup> UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environmentdocuments>

<sup>25</sup> <http://www.unep.fr/ozonaction/about/bsp.htm>

given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no one behind.

#### **iv. Complementarity with Existing Interventions/Coherence<sup>26</sup>**

37. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>27</sup>, took account of ongoing and planned initiatives (under the same subprogramme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP and UNDP's comparative advantages have been particularly well applied should be highlighted.

*Factors affecting this criterion may include:*

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

#### **B. Quality of Project Design**

38. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established ([www.unenvironment.org/about-un-environment/our-evaluation-approach/templatesand-tools](http://www.unenvironment.org/about-un-environment/our-evaluation-approach/templatesand-tools)). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

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

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

#### **C. Nature of External Context**

39. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval<sup>28</sup>). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event

<sup>26</sup> This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

<sup>27</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>28</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team.

has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the evaluation consultant and Evaluation Manager together. A justification for such an increase must be given.

## D. Effectiveness

### i. Availability of Outputs<sup>29</sup>

40. The evaluation will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision<sup>30</sup>

### ii. Achievement of Project Outcomes<sup>31</sup>

41. The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed<sup>32</sup> Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary. The evaluation should report evidence of attribution between UNEP and UNDP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP and UNDP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation

---

<sup>29</sup> Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

<sup>30</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

<sup>31</sup> Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

<sup>32</sup> All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

- Responsiveness to human rights and gender equity
- Communication and public awareness

### iii. Likelihood of Impact

42. Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excelbased flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.
43. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>33</sup>
44. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>34</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact.
45. Ultimately UNEP and UNDP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partners.

Factors affecting this criterion may include:

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

## E. Financial Management

46. Financial management will be assessed under three themes: *adherence* to UNEP and UNDP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will verify the application of proper financial management

<sup>33</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://wedocs.unep.org/handle/20.500.11822/8718>

<sup>34</sup> Scaling up refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer-term objective of pilot initiatives. Replication refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.



standards and adherence to UNEP and UNDP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision

**F. Efficiency**

47. The evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.
48. The evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities<sup>35</sup> with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UNEP and UNDP's environmental footprint.
49. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

*Factors affecting this criterion may include:*

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

**G. Monitoring and Reporting**

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

---

<sup>35</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

### **i. Monitoring Design and Budgeting**

51. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>36</sup> results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

### **ii. Monitoring of Project Implementation**

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

### **iii. Project Reporting**

53. UNEP has a centralised project information management system (Anubis), while UNDP uses Project Information Management System (PIMS+) for GEF projects in which project managers upload sixmonthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UNEP, UNDP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

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

## **H. Sustainability**

54. Sustainability<sup>37</sup> is understood as the probability of project outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of

---

<sup>36</sup> SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

<sup>37</sup> As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

achieved project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

#### **i. Socio-political Sustainability**

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

#### **ii. Financial Sustainability**

56. Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

#### **iii. Institutional Sustainability**

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

Factors affecting this criterion may include:

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

### **I. Factors Affecting Project Performance and Cross-Cutting Issues**

*(These factors are rated in the ratings table but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above. Where the issues have not been addressed under other evaluation criteria, the consultant(s) will provide summary sections under the following headings.)*

#### **i. Preparation and Readiness**

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

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

## ii. Quality of Project Management and Supervision

59. In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP and UNDP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP and UNDP.
60. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP and UNDP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

## iii. Stakeholder Participation and Cooperation

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

## iv. Responsiveness to Human Rights and Gender Equity

62. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment<sup>38</sup> as well as UNDP Gender Equity Strategy 2018 - 2021<sup>20</sup>.
63. In particular the evaluation will consider to what extent project—implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of

---

<sup>38</sup> The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time.

[https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender\\_equality\\_and\\_the\\_environment\\_Policy\\_and\\_strategy-2015Gender\\_equality\\_and\\_the\\_environment\\_policy\\_and\\_strategy.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y)

<sup>20</sup> <https://www.undp.org/content/undp/en/home/librarypage/womensmpowerment/undp-gender-equality-strategy-2018-2021.html> <sup>21</sup> For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

disadvantaged groups (especially women, youth and children) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

#### v. Environmental and Social Safeguards

64. UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements<sup>21</sup> were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).
65. The evaluation will also consider the extent to which the management of the project minimised UNEP and UNDP's environmental footprint.

#### vi. Country Ownership and Driven-ness

66. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gendered and marginalised groups.

#### vii. Communication and Public Awareness

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

### Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

68. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine

project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) will provide a georeferenced map that demarcates the area covered by the project and, where possible, provide georeference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

69. The findings of the evaluation will be based on the following:

(a) A desk review of:

- Relevant background documentation, inter alia UNEP MTS 2010-2013 and 2014 – 2017 and POWs 2012-13 and 2014-15, the UNDP Strategic Plan, the goals of GEF-5 Climate Change Adaptation Strategy 2010-2014, LDCF focal area strategies and GEF's cross-cutting issues and programs on Capacity Development;
- Project design documents (including minutes of the project design review meeting at approval);  
Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: including but not limited to LDC negotiator publications and reports, e-learning publications and reports, manuals and toolkits produced by the project including those by IIED, UNITAR, UNFCCC and other internal and external partners;
- Mid-Term Review (2018) of the project; • Evaluations/reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- o UNEP Task Manager (TM); and UNDP Oversight Team (in particular the regional technical advisor);
- o Project management team, including the Project Manager within the Executing Agency;
  - UNDP portfolio management officer
- o UNEP Fund Management Officer (FMO);
- o UNEP Portfolio Manager and Sub-Programme Coordinator;
- o Project partners, including UNITAR, IIED and LDC Group;
- o Relevant resource persons;
- o Selected national UNFCCC focal points;

(c) **Surveys** as deemed necessary and designed during the inception phase of the TE.

(d) **Field visits** In light of the current travel restrictions due to the COVID-19 global pandemic, the Terminal Evaluation, for the time being, will take place without field visits. **Virtual methods** of interviews/consultations will have to replace field visits

(e) **Other data collection tools** as deemed necessary and designed during the inception phase of the TE.

## 11. Evaluation Deliverables and Review Procedures

70. The evaluation team will prepare:

- (f) **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
  - (g) **Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
  - (h) **Draft and Final Evaluation Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
71. An **Evaluation Brief**, (a 2-page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP and/or UNDP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.
  72. **Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.
  73. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.
  74. The Evaluation Manager will prepare a **quality assessment** of the first draft of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.
  75. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 18 months.

## 12. The Evaluation Team/Evaluation Consultant

76. For this evaluation, the evaluation team will consist of a one Evaluation Consultant who will work under the overall responsibility of the UNEP Evaluation Office represented by an Evaluation Manager, Neeral Shah, in consultation with the UNEP Task Manager, Jessica Troni and UNDP oversight team, Yusuke Taishi; UNEP project manager (Soumya Bhattacharya) UNDP Project Manager, Rohini Kohli, UNEP Fund Management Officer Sharon Kerosi and the Sub-programme Coordinators of Climate Change, Niklas Hagelberg. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, each consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.
77. The Evaluation Consultant will be hired over a period of 9 months 01 April 2021 to 31 Dec 2021 and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 10 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good understanding of climate change diplomacy and the negotiation process, multilateral agreements and familiarity with UNFCCC processes is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement. Working knowledge of the UN system and specifically the work of UNEP and UNDP is an added advantage. The work will be home-based.
78. The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables, above. The consultant will ensure that all evaluation criteria and questions are adequately covered.
79. In close consultation with the Evaluation Manager, the evaluation consultant will be responsible for the overall management of the evaluation and timely provision of its outputs, data collection and analysis and report-writing. More specifically:

*Inception phase of the evaluation, including:*

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

*Data collection and analysis phase of the evaluation, including:*

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;



- (where appropriate and agreed) conduct an evaluation mission(s) to selected countries, visit the project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the evaluation consultant and indicating the reason for the rejection; and
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluand and the key evaluation findings and lessons)

Managing relations, including:

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

### 13. Schedule of the evaluation

80. The table below presents the tentative schedule for the evaluation.

**Table 3. Tentative schedule for the evaluation**

Milestone	Tentative Dates
Evaluation Initiation Meeting	March 2021
Inception Report	May 2021
Evaluation Mission	For the time being there will be no travel until the COVID-19 subsides and travel restrictions are removed.
Skype/zoom/Telephone interviews, surveys etc.	July 2021
Powerpoint/presentation on preliminary findings and recommendations	August 2021
Draft report to Evaluation Manager (and Peer Reviewer)	August 2021
Draft Report shared with UNEP and UNDP Project Manager and team	September 2021

Milestone	Tentative Dates
Draft Report shared with wider group of stakeholders	October 2021
Final Report	November 2021
Final Report shared with all respondents	November 2021

#### 14. Contractual Arrangements

81. Evaluation consultants will be selected and recruited by the Evaluation Office of UNEP under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP /UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.
82. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

##### Schedule of Payment for the [Evaluation Consultant/Principal Evaluator]:

Deliverable	Percentage Payment
Approved Inception Report (as per annex document 7)	30%
Approved Draft Main Evaluation Report (as per annex document 13)	30%
Approved Final Main Evaluation Report	40%

83. Fees only contracts: Air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.
84. The consultants may be provided with access to UNEP’s Anubis information management system and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.
85. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP’s quality standards.
86. If the consultant(s) fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants’ fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

## ANNEX VII. QUALITY ASSESSMENT OF THE EVALUATION REPORT

### Quality Assessment of the Evaluation Report

Evaluand Title:

Terminal Evaluation of a UNEP/UNDP/GEF “Building Capacity for LDCS to participate effectively in intergovernmental climate change processes”

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
<b>Substantive Report Quality Criteria</b>		
<b>Quality of the Executive Summary:</b>  The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	<b>Final report:</b> Good executive Summary	5
<b>I. Introduction</b>  A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)  Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	<b>Final report:</b> A full and complete description of the project and the different agency roles  Only limited financial information available	5
<b>II. Evaluation Methods</b>  A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Efforts to include the voices of different groups, e.g. vulnerable, gender, marginalised etc) should be described.	<b>Final report:</b> Meets minimum requirements	4

<p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected, and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement? E.g. <i>'Throughout the evaluation process and in the compilation of the Final Evaluation Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made.'</i></p>		
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• <i>Results framework:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p><b>Final report:</b> A thorough treatment of the evaluand spanning two UN agencies</p>	5
<p><b>IV. Theory of Change</b></p> <p>The <i>TOC at Evaluation</i> should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>This section should include a description of how the <i>TOC at Evaluation</i><sup>39</sup> was designed (who was involved etc.) and applied to the context of the project? Where the project results as stated in the project design documents (or formal revisions of the project design)</p>	<p><b>Final report:</b> Thorough ToC which was discussed with stakeholders during the early phases of the evaluation.</p>	5

<sup>39</sup> During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the <i>TOC at Evaluation</i> . The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'. This table may have initially been presented in the Inception Report and should appear somewhere in the Main Review report.		
<b>V. Key Findings</b>  <b>A. Strategic relevance:</b> This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation <sup>40</sup> ), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: <ul style="list-style-type: none"> <li>i. Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities</li> <li>ii. Alignment to Donor/GEF/Partners Strategic Priorities</li> <li>iii. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>iv. Complementarity with Existing Interventions</li> </ul>	<b>Final report:</b>  A well written section. Comprehensive coverage.	5
<b>B. Quality of Project Design</b> To what extent are the strength and weaknesses of the project design effectively <u>summarized</u> ?	<b>Final report:</b> Design is well assessed and described	6
<b>C. Nature of the External Context</b> For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval <sup>41</sup> ), and how they affected performance, should be described.	<b>Final report:</b> Brief but adequate	4
<b>D. Effectiveness</b> <b>(i) Outputs and Project Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention?  The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.	<b>Final report:</b> A thorough assessment including limited mention of gender	6

<sup>40</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>41</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p><b>Final report:</b></p> <p>Comprehensive coverage.</p>	5
<p><b>E. Financial Management</b></p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>Adherence</i> to UNEP's financial policies and procedures</li> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• <i>communication</i> between financial and project management staff</li> </ul>	<p><b>Final report:</b></p> <p>Only limited financial and supporting information was submitted by the project – limiting the thoroughness of this section.</p>	3
<p><b>F. Efficiency</b></p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	<p><b>Final report:</b></p> <p>The section was concise but assessed the efficiency of components managed by different UN agencies.</p>	4
<p><b>G. Monitoring and Reporting</b></p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>)</li> <li>• Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor reports</i>)</li> </ul>	<p><b>Final report:</b></p> <p>Concise but sufficient.</p>	4
<p><b>H. Sustainability</b></p> <p>How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability</li> </ul>	<p><b>Final report:</b></p> <p>This section was concise but well-prepared and useful for the project teams.</p>	6
<p><b>I. Factors Affecting Performance</b></p> <p>These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• Preparation and readiness</li> </ul>	<p><b>Final report:</b></p> <p>Well covered</p>	5

<ul style="list-style-type: none"> <li>• Quality of project management and supervision<sup>42</sup></li> <li>• Stakeholder participation and co-operation</li> <li>• Responsiveness to human rights and gender equality</li> <li>• Environmental and social safeguards</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>		
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>i) Quality of the conclusions:</b> The key strategic questions should be <b>clearly</b> and succinctly addressed within the conclusions section. This includes providing the answers to the questions on Core Indicator Targets, stakeholder engagement, gender responsiveness, safeguards and knowledge management, required for the GEF portal.</p> <p>It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p><b>Final report:</b></p> <p>A useful and insightful conclusions section. Recommendations well-prepared</p>	5
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons are intended to be adopted any time they are deemed to be relevant in the future and must have the potential for wider application (replication and generalization) and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p><b>Final report:</b></p> <p>Lessons were useful and appropriate</p>	5
<p><b>iii) Quality and utility of the recommendations:</b></p> <p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p> <p>In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an</p>	<p><b>Final report:</b></p> <p>Recommendations were mainly pitched at third parties limiting the possibility of compliance to the communication of recommendations</p>	4

<sup>42</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP. This includes providing the answers to the questions on Core Indicator Targets, stakeholder engagement, gender responsiveness, safeguards and knowledge management, required for the GEF portal.

agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.  Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.		
<b>VII. Report Structure and Presentation Quality</b>		
i) <b>Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: Yes good	6
ii) <b>Quality of writing and formatting:</b> Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: Well written	6
<b>OVERALL REPORT QUALITY RATING</b>		Satisfactory

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



At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
<b>Independence:</b>		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?		
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?		
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?		
4. Was the evaluator contracted directly by the Evaluation Office?		
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?		
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
<b>Financial Management:</b>		
8. Was the evaluation budget approved at project design available for the evaluation?		
9. Was the final evaluation budget agreed and approved by the Evaluation Office?		
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?		
<b>Timeliness:</b>		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?		
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?		
<b>Project's engagement and support:</b>		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?		
15. Did the project make available all required/requested documents?		
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?		
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?		
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?		
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?		
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?		
<b>Quality assurance:</b>		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?		
22. Was the TOC in the inception report peer-reviewed?		
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?		

24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?		
<b>Transparency:</b>		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?		
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?		
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?		
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office?		
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?		
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?		

**Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.**

<b><u>Process Criterion Number</u></b>	<b><u>Evaluation Office Comments</u></b>