

INTERIM EVALUATION REPORT
for of the MoEFCC/GCF/UNDP Project
“Enhancing Climate Resilience of India’s Coastal Communities”
PIMS 5991 /GCF FP084

Final Version

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I. Acronyms and Abbreviations

ADB	Asian Development Bank
Andhra Pradesh SAPCC	State-level Action Plan on Climate Change for Andhra Pradesh
APR	Annual Performance Report
AWP	Annual Work Plan
CBOs	Community-based organisations
CII	Confederation of Indian Industry
CO	Country Office
COVID	Coronavirus disease
CRZ	Coastal Regulation Zone
CSIR	Council of Scientific and Industrial Research
CZM	Coastal Zone Management
CZMP	Coastal Zone Management Plans
DLCC	District Level Coordination Committees
EbA	Ecosystem-based Adaptation
EGREE	East Godavari River Estuarine Ecosystem
ESMF	Environmental and Social Management Framework
GCF	Green Climate Fund
GEF	Global Environment Facility
GIS	Geographic Information System
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoI	Government of India
GPS	Global Positioning System
GRM	Grievance Redress Mechanism
HACT	Harmonized Approach to Cash Transfer
ICZM	Integrated Coastal Zone Management
IE	Interim Evaluation
IMP	Integrated Management Plans
IP	Implementing Partners
IPCC	Intergovernmental Panel on Climate Change
JFM	Joint forest management
JMM	Joint mangrove management
KM	Knowledge Management
M&E	Monitoring and Evaluation
MAP	Mangrove Action Project
MCMC	Mangrove Co-Management Committees
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MoEFCC	Ministry of Environment, Forestry and Climate Change
MSAAPC	Maharashtra State Adaptation Action Plan on Climate Change
MTR	Mid-Term Review
NABARD	National Bank for Agriculture and Rural Development
NAPCC	National Action Plan for Climate Change
NCM	National Coastal Mission

NCSCM	National Centre for Sustainable Coastal Management
NDC	Nationally Determined Contribution
NEP	National Environmental Policy
NGO	Non-Government Organization
NIM	National Implementation Modality
NPD	National Project Director
NPSC	National Project Steering Committee
NRLM	National Rural Livelihoods Mission
NRM	Natural Resources Management
OCCAP	Orissa Climate Change Action Plan
PMU	Project Management Unit
PRF	Project Results Framework
PSC	Project Steering Committee
RBM	Results-Based Management
ROTI	Review of Outcomes to Impacts
RP	Responsible Party
SAPCC	State Action Plan for Climate Change
SC	Scheduled Castes
SDG	Sustainable Development Goal
SES	Social and Environmental Standards
SESP	Social and Environmental Screening Procedure
SHG	Self-help group
SICOM	Society of Integrated Coastal Management
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
SPSC	State Project Steering Committee
SRI	System of Rice Intensification
SRLM	State Rural Livelihoods Mission
ST	Scheduled Tribes
TOC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNSDF	United Nations Sustainable Development Framework

II. Project Information Table

Project Title: UNDP/GCF/MoEFCC Project “Enhancing Climate Resilience of India’s Coastal Communities”	
GCF Project ID:	FP084
UNDP ID (PIMS #)	5991
Country:	India
Region:	Asia
Date of Board approval - Board Meeting Number:	10/19/2018 - B.21
Accredited Entity:	UNDP
Executing Entity(ies):	Ministry of Environment, Forest and Climate Change
Implementation Period:	28/06/2019 - 28/06/2025
Current year of Implementation:	Year 3
Total Project Budget:	USD 130,268,606
Total amount of GCF Proceeds Approved:	USD 43,418,606

III. Executive Summary

3.1. Project Description

The United Nations Development Programme (UNDP) supported, Green Climate Fund (GCF) financed project “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084) is implemented by the Ministry of Environment, Forest and Climate Change (MoEFCC) in partnership with and the nodal departments of the states of Andhra Pradesh, Odisha and Maharashtra. The project is financially supported by GCF and Government of India (GoI). The total project budget is US\$ 130,268,606, including GCF grant – US\$ 43,418,606, and co-financing from the Government of India – US\$ 86,850,000. The project implementation period is June 2019 – June 2025 (6 years). The project has 24 target landscapes located in 12 coastal districts of Andhra Pradesh, Maharashtra and Odisha states; total project area is ~1,586,590 ha.

The project Objective is - to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach. The Objective is going to be achieved through delivery of three project Outputs:

- **Output 1.** Enhanced resilience of coastal and marine ecosystems and their services;
- **Output 2.** Climate-adaptive livelihoods for enhanced resilience of vulnerable coastal communities;
- **Output 3.** Strengthened governance and institutional framework for climate-resilient management of coastal areas.

The project was started on the 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation.

3.2. IE Ratings & Achievement Summary Table¹

IE Criteria	IE Rating	Comments
Project Strategy	S	The project proposal was developed based on the good review of the lessons learned from at least 10 previous projects and initiatives for coastal ecosystem restoration and adaptation community livelihood, funded by the World Bank, ADB, GIZ, GEF, and UNDP. During the project development at least 1,552 stakeholders were consulted at national, state and landscape levels, however, share of women and Scheduled Casts and Tribes among the stakeholders is unknown. There is a strong intersection between risks in the Project Risk Log and Social and Environment Screening Procedure (SESP) (4 risks are the same), no sufficient explanation of SESP risks is provided. The project is designed to address a set of specific and relevant climate and non-climate threats for India coastal ecosystems and communities through removal of clearly identified barriers. The project Theory of Change (ToC) does not directly correspond to Output, Outcome, and Impact indicators in the Project Results Framework (PRF). Project Activities are correctly phrased and described in sufficient details in most cases, including budgets; however, a few sub-activities for Activities 1.1, 1.2, and 3.2 need further clarification to allow their delivery. PRF is not absolutely logical and have a lot of redundant indicators that do not add additional value and clarity. Some Indicator targets are very ambitious and do not look realistic (e.g., restoration target for coral reefs and total number of people practicing adaptation livelihood).
Relevance	HS	The project is highly relevant to India's national priorities in coastal ecosystem conservation and adaptation to climate change, and is fully consistent with GCF and UNDP priorities. Three project strategies (coastal ecosystem conservation and restoration; community adaptation livelihood; and Ecosystem-based Adaptation (EbA) and climate adaptation governance and policy) are fully relevant to address climate and non-climate threats to India's coastal ecosystems and vulnerable communities.
Effectiveness	U	Currently the project implementation effectiveness is insufficient and full achievement of the project Outcomes ² as stated in the PRF is unlikely if the project implementation does not change considerably . Thus, given current effectiveness (2019-2022), Outcome 1: Increasing area of coastal ecosystems (at least 14,950 ha of restored coastal ecosystems; no ecosystem loss after the end of the project) in the project landscapes contributes to the ecosystem resilience to climate change is likely to be achieved by 33% by 2025; Outcome 2: 1,744,970 local people (50% female) in the project landscapes practice climate-smart agriculture and adaptive livelihood options and benefit from climate adaptation is likely to be achieved by 0.4% by 2025³; Outcome 3: National and coastal state governments implement climate-resilient management of coastal areas is likely to achieve 0% of the Outcome target by 2025 . The project most impressive results so far are restoration of 1,219 ha of mangroves and coastal watersheds and involving 1,704 local people in adaptation livelihood. At the same time the project has a number of serious shortcomings.
Efficiency	U	The project Output delivery is only 3.4% of planned by the Mid-Term. So, all project Outputs, are currently not on the target to be achieved. Similarly, project expenditures in 2019-2021 take only 5.4% of the amount that was

¹ This table contains only brief summaries of the IE findings, all details are provided in the relevant sections

² Project Outcomes are formulated by the IE team based on the updated ToC and review of the PRF

³ Outcome 2 target of 1,744,970 people practicing adaptation livelihood is very ambitious and unlikely to be achieved even if the project effectiveness increases dramatically

		planned in the project proposal for the same period. The project efficiency is impeded by incomplete project management and coordination structure.
Progress towards Results	U	Delivery of the project Activities by the Mid-Term is very low (3.4% of planned by the Mid-Term in average) and varies from 0% (Activities 1.1, 3.1-3.2) to 13% (Activity 1.2). Activities 2.1 and 2.2 have delivery rate 0.6% and 4.2% of planned by the Mid-Term respectively. The key barriers that impeded the project progress are: (1) significant delay to establish and operationalize project management structure; (2) COVID-19 pandemic restrictions in 2020-2021; and (3) delays to disburse to and use of project funds by the target States
Output 1 Delivery	U	Output 1 delivery is only 6.4% of planned by the Mid-Term
Output 2 Delivery	U	Output 2 delivery is only 2.4% of planned by the Mid-Term
Output 3 Delivery	U	Output 3 delivery is 1.5% of planned by the Mid-Term
Project Implementation and Adaptive Management	MU	The project management structure is still in the process of establishment and not fully functional yet. The National Project Management Unit (PMU) was formed only in June-August 2022. Maharashtra State PMU currently does not have a State Project Manager and a few other officers. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all. The project has a National Project Steering Committee (PSC) that held so far only two meetings: in August 2020 and September 2022. There is no detailed Work Plan for the entire project life-time with targets for Activities and Outputs. Annual Work Plans (AWPs) 2019, 2020, 2021, and 2022 were not approved by the National PSC. The total budget amount planned in 2019-2021 (\$896,029) is only 6% of the GCF budget planned for the same years (US\$13,587,451). Total project expenses of GCF funds for 2019-2021 represent 82% of the amount planned for the same period in the AWPs, but take only 5.4% of the planned in the GCF proposal budget for the same years. Given the project expenditures in 2019-2021, it is very unlikely the project will be fully completed on time by June 2025.
Sustainability	ML	The project focus on sustainability of the results is not sufficient. Sustainability of the Output 1 results require more active involvement of local communities in the restoration and co-management of coastal ecosystems. Output 2 results face significant socio-economic risks that should be addressed through appropriate market surveys, business planning, market risk management, and high involvement of women and marginalized communities in the adaptation livelihood. Output 3 can address many sustainability issues for the project, but its delivery rate is currently zero. The project strategies to address environmental and climate risks are correct, however, their implementation is very low to ensure environmental sustainability of the project results.
Country Ownership	MU	Until 2021 MoEFCC' ownership of the project was insufficient. Andhra Pradesh Government supported the project only in 2022 and still no project activities commenced in the state. Maharashtra and Odisha Governments have been actively involved in the project implementation since 2021 and provided sufficient co-financing. The NGOs are essential partners in the implementation of the present complex project, but they have not been involved in the project yet (except of NGO representation in some of the District PSC in Odisha). Similarly, the local community who experiences day-to-day climate-related problems that slowly creep into their lives and livelihoods are not actively involved in the project implementation, especially in the Output 1, where ownership and co-management of the coastal ecosystems by communities is absolutely necessary for their sustainability.
Gender Equity	MU	The original project Gender Assessment in the GCF proposal is based on good analysis of gender issues for India as a country, but does not contain specific analysis of the situation in the project target states and specifically coastal and

		fishing community. The Gender Action Plan has never been updated after the project start. No gender mainstreaming trainings have been provided to the State PMUs yet. The PRF has 4 gender-disaggregated indicators, however, they are repetitive. The original SESP does not consider gender-specific risks. There are no quarterly updates of SESP, including gender risks, practiced by the project yet. The total number of women involved in the Output 2 activities is only 435 (only 26% among all Output 2 beneficiaries, instead of planned 60%. Among them only 0.6% from the women headed households, instead of planned 15%. IE team could not estimate how many women were involved in the ecosystem restoration process under the Output 1. The project PMUs and PSCs are strongly dominated by males
Innovativeness	S	Restoring mangroves through desilting and renovating existing natural tidal canals and creeks is an innovative idea developed at the local level in Bhitarkanika. It has potential for replication other landscapes in the project but also in non-project states. Adaptation Livelihood options introduced by the project in the target landscapes of Maharashtra can be called innovative on the local level: System of Rice Intensification (SRI), 39 Units of Ornamental Fish Farming, 24 Units of Mussel Farming, 27 Sea bass cage culture Units; 7 Pearl Spot fish nursery units, 4 units of Oyster Farming. All this livelihood options are new for the target communities. No other innovation options at state or national level were found by the IE team
Unexpected Results	U	In 2021-2022 the project had a few “negative” unexpected results. However, the unexpected results have never been reported in the project quarterly or annual reports. “Negative” unexpected results should be used to update the project Risk Log, SESP, and develop respective management measures.
Replication and Scalability	MU	Lessons generated by the project are mainly managerial, but not technical. The current project lessons have never been applied to improve the project management. The project has not extracted lessons from mangrove restoration and adaptation livelihood activities by the project in Maharashtra and Odisha yet. The IE Team did not find any examples of the current GCF project lessons or best practices that have been replicated in other states of India or abroad yet. However, potential applicability and scalability of the project current practices (despite their yet very limited number) in India and abroad are high.

3.3. Summary of Conclusions and Recommendations

This section contains a brief summary of the IE conclusions and recommendations without details (see all details in the section “Conclusions and Recommendations”⁴)

Conclusion 7.1.1. The Project Results Framework Indicator targets for coral reef and salt marshes restoration, as well as for total number of local people practicing adaptation livelihood are very ambitious and impossible to achieve through the project lifetime.

Recommendation 7.1.1. Medium Priority. The IE Team recommend to make relevant adjustments of the project targets, if GCF approves the changes

⁴ Numbering of the conclusions and recommendations in the Executive Summary is the same as numbering in the Section VII Conclusions and Recommendations

Conclusion 7.1.2. The project has 7 high level Activities that are complex and have multiple sub-activities. The Activities are critical for delivery of the project three Outputs, however, no end of the project targets are developed for the Activities and their implementation cannot be monitored by the Project Results Framework Indicators.

Recommendation 7.1.2. High Priority. It is recommended to the National PMU by December 2022 to develop a set of indicators for each project Activity (2-4 indicators for each Activity) and define their end of the project targets consistent with the project Output targets .

Conclusion 7.2.1. Delivery of the project Outputs to achieve the expected Outcomes is extremely delayed and need to be improved. However, given India's previous rich experience in coastal ecosystem restoration and development of adaptation livelihoods, the project can be put on track to deliver the Output targets with some suggested adjustments to increase the project efficiency and effectiveness.

Recommendation 7.2.1. High Priority. The Implementing Partner (MoEFCC) should consider a request to the GCF for the project extension for **at least 2 additional years** (until 2027) without increasing the project budget⁵. The IE Team recommend to submit this request by December 2022.

Recommendation 7.2.2. High Priority. The National PMU with input of State PMUs by December 2022 should develop the multi-year project plan until 2025 (or until 2027 if the project extension is granted) and downscale it to the project landscapes . At the beginning of the last project quarter each year UNDP CO should provide clear requirements/check-list to the National and State PMUs on annual and quarterly planning and reporting, including financial, based on analysis of previous issues in the Quarterly Reports, Annual Performance Reports (APRs), and AWP. By December 2022 UNDP should provide a training session to the National and State PMUs on the planning and reporting standards focusing on issues in previous Quarterly Reports, AWP and APRs that slow down the process of their approval and quarterly funds transfers to National and State PMUs⁶. Two months before the end of each project year the National PMU should produce an AWP for next year based on the input of the State PMUs in full accordance with UNDP CO requirements. Each AWP should have detailed budget notes explaining all project expenditures. Annual procurement plan should be developed along with AWP and contain enough details to allow effective procurement. AWP and procurement plans should be reviewed and cleared by UNDP CO right after their development. At least one month before the end of each project year the National PMU should organize a National PSC meeting and approve AWP cleared by UNDP CO. Right after approval by the National PSC UNDP CO should submit the AWP to UNDP GSSU for review and clearance with expectation to receive funds form GSSU in 15 days after beginning of each project year. In 15 days after receiving the funds from GSSU, UNDP CO should transfer the funds to the National and State PMUs in accordance to their requests for funding. All quarterly project funds disbursement should take no more than 15 days form beginning of each quarter to allow effective project implementation without delays.

Recommendation 7.2.3. High Priority. To fast-track delivery of the project activities in 2022-2025 (or 2027 if the extension approved) the State PMUs should fully involve working potential of NGOs (Output 2) and local communities (Output 1) starting October 2022.

⁵ The need for project extension, was already brought to the notice of the National PSC at the second meeting held on September 8 2022. National PSC decided to take up the matter with GCF at the earliest.

⁶ This recommendation has started to be implemented: first orientation trainings for the State PMUs and National PMU were provided on September 1-2 2022 under the guidance of the RTA

Recommendation 7.2.4-7.2.6. Medium Priority. For delivery of the Outputs 1, 2, and 3 the IE team suggests a specific set of specific recommendations (see all details in the section “Conclusions and Recommendations”).

Conclusion 7.3.1. The project has weak and incomplete management and coordination arrangements. The incomplete project management structure does not allow effective delivery of the project Activities and Outputs.

See Recommendations 7.2.1-7.2.5. Additional recommendations are provided below:

Recommendation 7.3.1. High Priority. By October 2022 the project should complete and fully operationalize the National PMU as the key-stone mechanism for the project management and coordination of the State activities. By October 2022 the project should establish and operationalize Andhra Pradesh PMU and complete Maharashtra and Odisha State PMUs.

Recommendation 7.3.2. High Priority. By November 2022 UNDP CO should have discussion with the UNDP Bangkok Regional Hub and UNDP GSSU to find more efficient way of hiring National and State PMU staff that takes no more than 2 months total.

Recommendation 7.3.3. High Priority. UNDP CO should consider 6 month financial tranches to the National and State PMUs to allow them more flexibility to implement the project activities and use funds⁷. It is preferable to switch to 6 months tranches starting the first quarter of 2023 (if possible).

Recommendation 7.3.4. High Priority. MoEFCC by October 2022 should fully operationalize the National PSC that should approve all project AWP and APRs.

Recommendation 7.3.5. High Priority. Similarly to the project planning, project annual and quarterly reporting should be more detailed with explanation what was achieved in each of the project landscape and detailed description of the project expenses against each activity.

Recommendation 7.3.6. High Priority. To effectively fast-track the project implementation it is recommended that National and State PMUs employees work full time for the project in 2021-2025 (or until 2027). They should not be assigned with other tasks at MoEFCC or State Governments not directly related to the project.

Recommendation 7.3.7. High Priority. The National and State PMUs should organize quarterly field monitoring trips to the project sites starting the fourth quarter of 2022.

Recommendation 7.3.8. High Priority. Starting the fourth quarter of 2022 the National and State PMUs should organize quarterly lessons learning sessions to discuss what works, what do not work, and why.

Conclusion 7.4.1. Current level of the project monitoring of environmental and social risk, including gender-related risks, is non-existent; involvement of women and SC/ST representatives in the project activities is very low.

Recommendation 7.4.1. High Priority. National PMU should organize the Environmental and Social Impact Assessment (ESIA) in the project landscapes and produce the Environmental and Social Management Plan (ESMP) by March 2023 to guide the project implementation. Special training on SESP is recommended for National and State PMUs.

⁷ The matter of 6 month tranches is started to be discussed with MoEFCC and also the finance wing of UNDP CO in September 2022.

Recommendation 7.4.2. High Priority. National and State PMUs should produce Gender Mainstreaming Plans by March 2023, and review them and update annually. Project SESP should be reviewed and updated quarterly at national and State levels. The PMU should allocate a budget for specific gender mainstreaming activities, especially under Output 2, to ensure that women, youth, poor and disabled people, SC/ST can fully participate and benefit from the project activities and livelihood options provided by the project.

Recommendation 7.4.4. High Priority. The National and State PMUs by December 2022 should develop and operationalize Grievance Redress Mechanism (GRM) in the project States.

IV. Introduction

The United Nations Development Programme (UNDP) supported, Green Climate Fund (GCF) financed project “*Enhancing Climate Resilience of India’s Coastal Communities*” (PIMS 5991 /GCF FP084) is implemented by the Ministry of Environment, Forest and Climate Change (MoEFCC) in partnership with and the nodal departments of the states of Andhra Pradesh, Odisha and Maharashtra. The project is financially supported by GCF, the Government of India (GoI) and the State Governments of Odisha, Andhra Pradesh and Maharashtra. The project objective is - *to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach.*

The project was started on the 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation, with planned completion on the 28th June 2025. Project activities are designed for implementation in 24 target landscapes located in 12 coastal districts of Andhra Pradesh, Maharashtra and Odisha States.

In May 2022 UNDP-India initiated an Interim Evaluation (IE) of the project in accordance with the draft GCF Evaluation Policy (GCF 2021), GCF Terms of Reference of the Independent Evaluation Unit (2018), and Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects (UNDP 2014). To perform the IE UNDP contracted Dr. Mikhail Paltsyn, International Consultant; Dr. Vaithilingam Selvam, National Consultant on Ecosystem Restoration; and Mr. Sudarshan Rodriguez, National Consultant on Climate-Resilient Livelihoods and EbA Institutionalization. This IE Report represents key findings and conclusions of the evaluation team and provides recommendations for the project implementation in 2022-2025.

4.1. Purpose of the Interim Evaluation

The purpose of the IE is to:

- assess overall performance of the UNDP/GCF/GoI project and progress towards the achievement of the project objectives and outcomes as specified in the UNDP Project Document and GCF Funded Activity Agreement (FAA); and
- assess early signs of project success, or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results;

The results of the IE are intended for use by the Project Management Team, Government of India, UNDP India, GCF, and other stakeholders to:

- receive objective information on actual performance of the project;
- recognize strengths and weaknesses of the project;
- improve project planning, implementation, monitoring and evaluation.

The IE Report will be published and made available for public by GCF and UNDP. National and State PMUs will distribute the report among the project partners and stakeholders during project meetings and events.

4.2. Scope of the Interim Evaluation

Thematic scope of this IE is limited to 10 project design and implementation areas: (1) Project Strategy; (2) Relevance, Effectiveness and Efficiency; (3) Progress towards Results; (4) Implementation and Adaptive Management; (5) Sustainability; (6) Country Ownership; (7) Gender Equity; (8) Innovativeness; (9) Unexpected Results; and (10) Replication and Scalability.

Geographic scope of the IE includes 17 project landscapes in Maharashtra (10 landscapes: Devgad, Malvan, Vengurla, Dapoli, Guhagar, Rajapur, Alibaug, Shrivardhan⁸, Palghar, and Dahanu) and Odisha (7 landscapes: Chilika (Ganjam), Bahuda, Chilika (Puri), Devi Mouth, Talasari, Bhitarkanika, and Mahanadi Mouth). However, physically the IE team visited only three project landscapes: Palghar and Alibaug in Maharashtra, and Bhitarkanika in Odisha.

4.3. Methodology

The IE was conducted using comprehensive evidence-based and participatory approach built in full accordance with the *UNDP Guidance for Conducting Mid-Term Reviews*⁹, ToR for the UNDP/GCF project IE, and Results-Based Management (RBM) concept¹⁰. The evaluation was based on analysis of 10 areas of the project design and implementation identified in the Scope section (see also Fig. 2).

⁸ In December 2020 the Mangrove Cell of Maharashtra submitted the request to MoEFCC to remove two project landscapes – Uran and Panvel, and add Alibaug and Shrivardhan instead

⁹ UNDP-GEF Directorate 2014. Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects.

¹⁰ United Nations Population Fund (2019). Results-based Management Principles and Standards: The 3+5 Framework for Self-Assessment. New York, New York.

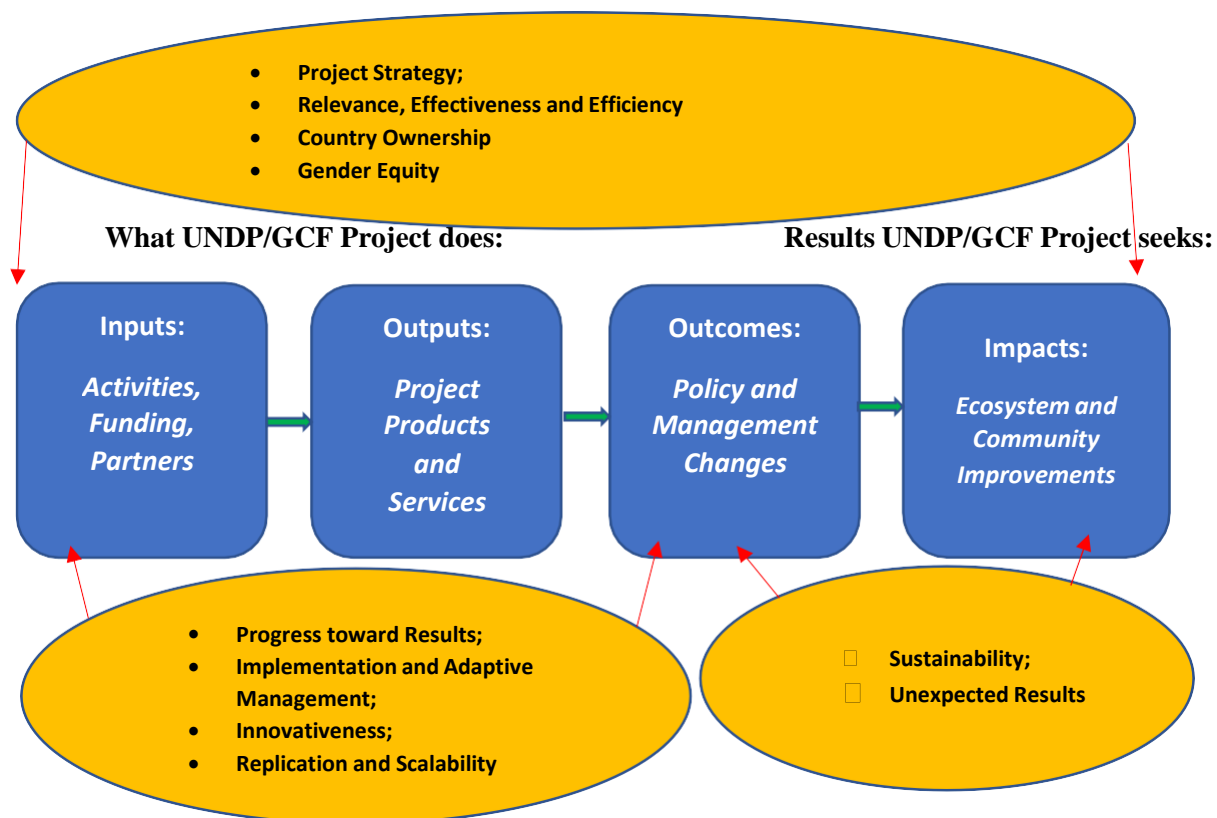


Figure 1. Ten UNDP/GCF Project IE criteria linked to the elements of project logic in accordance to RBM concept (Inputs, Outputs, Outcomes, and Impacts).

Approach for assessment of project IE areas is described in details below:

1. Project Strategy

Analysis of the Project Design and Theory of Change. A review of the project preparation process and design was conducted based on the Project Document and Project Results Framework using the following criteria¹¹:

- incorporation of lessons learned from similar projects in the project design;
- stakeholder consultation and decision-making process, including involvement of vulnerable groups and relevant gender issues;
- realistic assessment of risks to the project and risks that can be produced by the project;
- adequacy of selection of the project sites;
- adequacy of Threats (both climate and non-climate) to India coastal ecosystems and local communities addressed by the project;
- correct identification of indirect threats (immediate and root causes) and barriers for sustainable solution;
- clarity of the project Theory of Change;

¹¹ Guidance of the UNDP Project Design Stage Quality Assurance Assessment Form will be applied

- clarity of Activities and Outputs for implementation

All the criteria were rated using recommended 6 IE ratings (UNDP-GEF directorate, 2014): Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU); or in case of Sustainability: Highly Likely (HL), Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U), Highly Unlikely (HU).

Theory of Change (TOC) analysis of the project logic was implemented using Miradi software¹² <https://miradi.org/> and the Review of Outcomes to Impacts (ROTI) Practitioner’s Handbook¹³. First, the Project Situation Analysis was conducted to verify logical connections between identified problems and direct threats for wetlands associated with climate change, their causes and effects, and opportunities for mitigation and solving of the problems . The following elements were verified:

- Selection of coastal ecosystems and sites targeted by the project;
- Direct Threats for the coastal ecosystems and local communities;
- Indirect Threats (immediate and root causes) leading to the Direct Threats;
- Barriers on the way to eliminate or effectively decrease Direct and Indirect Threats for the coastal ecosystems and local communities.

Based on the situation analysis the IE consultants reviewed and constructed the Project Result Chains (logical pathways between the Project expected Outputs, Outcomes, and Impacts¹⁴) (Annex 1. Updated Project Theory of Change). Based on the Result Chain analysis the consultant checked SMARTness¹⁵ of the Project Objective, expected Outputs and Outcomes and their Indicators.

2. Relevance, Effectiveness and Efficiency

The following criteria were used for assessment of the project Relevance, Effectiveness, and Efficiency:

Relevance:

- relevance of the project to country priorities in climate change adaptation and mitigation;
- relevance to GCF priorities;
- relevance to UNDP priorities;
- relevance of the project strategies to address climate and non-climate threats to India coastal ecosystems and local communities.

Effectiveness:

- probability that the project strategies will achieve project Outcomes during the project lifetime;
- number and character of the most impressive project results;
- number and character of the significant project shortcomings

¹² Kozlova, S., Paltsyn, M., Mathiason, J. 2016. Tools for Theory of Change Analysis of Environmental Programs. International Conference Evaluation 2016, October 24-29, Atlanta, GA, USA. <http://comm.eval.org/viewdocument/tools-for-theory-of-change-analysis>

¹³ <https://www.scribd.com/document/172281656/M2-ROTI-Handbook>

¹⁴ See definitions of different project results and details of the logical pathway analysis in the Review of Outcomes to Impacts (ROTI) Practitioner’s Handbook <https://www.scribd.com/document/172281656/M2-ROTI-Handbook>

¹⁵ Specific, Measurable, Achievable, Relevant, and Time-bound

Efficiency:

- timeliness, quality and quantity in implementation of project Activities and delivery of planned Outputs;
- Activity costs in comparison with other similar projects;
- capacity of PMU and key partners to implement the project.

3. Progress Toward Results

The project progress to implement planned Activities, deliver Outputs and achieve desired Outcomes was evaluated based on the original PRF via desk analysis of the annual project reports and other documents provided by UNDP and Government of India, interviews with key stakeholders, and field visit to the project areas (triangulation routine¹⁶ was performed to ensure credibility of the findings). As the first step of the process, the consultants performed analysis of the Activity and Output delivery based on the above data sources - each Activity and Output were rated based on the level of its actual delivery by July 2022. Then Progress Towards Results Matrix (recommended by UNDP 2014) was completed to evaluate achievement of the project Outcomes with assigning of relevant rating based on the Outcome Indicators (*Achieved, On the target to be achieved, or Not on target to be achieved*).

In addition, the IE team collected information from the State of Forest Report 2021 on the mangroves cover dynamic in the target states in 2013-2022. That allowed to see what relative contribution the project made by the Mid-term to protection and restoration of the coastal ecosystems as an important element of climate adaptation.

The IE team explored key drivers behind the project success and delays in delivery of Outputs and progress Outcomes and Impacts through meta-modeling interviews with the project management team and key stakeholders (What worked well? What did not work well? Why? What needs to be improved?) and mapped key barriers (and opportunities) to achieving the project Outcomes and Impacts.

4. Project Implementation and Adaptive Management

This area was evaluated on the following criteria: *management arrangements, work planning, finance and co-finance, coherence in climate finance delivery with other multilateral entities, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications*. Final ratings according each criterion was summarized in the summary table with calculation of overall rating for this area.

The following points for each criterion were used for evaluation of the project implementation and adaptive management quality:

Management arrangements

- Existing project management structure and its functionality;
- Structure and functionality of the national and state project management units;
- Level of support of project management team from UNDP CO;

¹⁶ Triangulation facilitates validation of data through cross-verification from more than two sources.

- Level of support of the project management from MoEFCC, state government agencies, and local administrations;
- Level of support of the project management from the national and state Project Steering Committees.

Work planning

- Actual start of the project implementation and delay issues if any (reasons for the delay);
- Quality of the annual and quarterly work/activities planning¹⁷;
- Quality of the PMU internal weekly/monthly planning¹⁸;
- Changes to the Project Results Framework and Theory of Change as a part of Adaptive Management

Finance and Co-finance

- Quality of planning of the project annual budget¹⁹;
- Financial management: variance between planned and actual expenses by Activities/Outputs/Outcomes and years;
- Actual project expenses to deliver the project Outputs;
- Presence, conclusions, and recommendations of annual audit reports;
- Changes made in the project budget as a part of Adaptive Management;
- Planned and actual co-financing commitments

Coherence in climate finance delivery with other multilateral entities

- Level of project partnership and cooperation with other climate change adaptation projects and programs in India;
- Overall project impact and contribution to climate change adaptation in India.

Monitoring and Evaluation System

- Quality of the project M&E plan and its relevance to the project Activities, Outputs, and Outcomes²⁰;
- Consistency of the project M&E system with national SDGs, NDC and other national reporting systems;
- Frequency and quality of update of the project indicator values and data credibility;
- Difference between planned and actual expenses for the project M&E;
- Use of M&E framework for the project adaptive management;
- Stakeholder participation the project M&E, including gender aspects;
- Quality of monitoring and management of the project risks and Environmental and Social Safeguards risks²¹;

Stakeholder Engagement

- Quality of the project stakeholder engagement strategies and activities;

¹⁷ Will be evaluated along requirements of the UNDP Project Implementation Stage Quality Assurance Assessment Form

¹⁸ Ibid

¹⁹ Ibid

²⁰ Ibid

²¹ Will be evaluated along requirements of the UNDP Project Implementation Stage Quality Assurance Assessment Form

- Level of local and national government participation in the project implementation;
- Level of participation of local communities and other groups in the project, including establishment of village-level institutions and their roles in the project planning, implementation and monitoring (with indication of total number of stakeholders directly involved in the project and direct project beneficiaries);
- Total number of the project indirect beneficiaries;
- Presence and effectiveness of the project Grievance Redress Mechanism.

Reporting²²

- Presence and quality of the project Inception Report;
- Presence and quality of the project quarterly and annual reports;
- Quality of personal reporting of PMU staff, Back to the Office/Mission Reports, and Activity/Event Reports;
- Project Partners and Responsible Parties Reports;
- Quality of reporting of project adaptive management changes;
- Validation and approval of project annual reports by the Project Steering Committees;
- Quality of documentation of lessons learned during the project implementation.

Communication

- Mechanisms of the project communications with stakeholders, including sharing lessons learned;
- Mechanisms for receiving stakeholder feedback on the project implementation;
- Presence of outreach and awareness campaigns implemented by the project;

5. Sustainability

Under this area the IE consultants re-evaluated the project risks identified on the project development stage and checked if the risk rating by the project management were appropriate and up to date. Evaluation of Sustainability area was conducted according the following criteria: *financial risks to sustainability*, *socio-economic risks to sustainability*, *institutional and governance risks to sustainability*, and *environmental risks to sustainability*. Overall project sustainability rating was assigned based on the UNDP recommendation to MTRs (UNDP 2014) using following points for each criterion:

Financial sustainability

- Level of dependence of the Outcome sustainability on external financial sources;
- Likelihood that financial resources will be available to support the project Outputs and Outcomes after its completion;
- Presence of mechanism to ensure financial sustainability of the project Outputs and Outcomes.

Socio-economic sustainability

- Presence and magnitude of economic and social risks for the project Outputs and Outcomes;
- Level of stakeholder ownership on the project Outputs and Outcomes in terms of economic feasibility;

²² Ibid

- Presence of partnerships and other mechanisms to sustain the project Outputs and Outcomes.

Institutional and governance sustainability

- Presence of appropriate policies, legislation, and governance structures to support project Outputs and Outcomes;
- Capacity of institutional and governance structures to sustain the project Outcomes;
- Presence, structure, responsibility and capacity of the village-level institutions to deliver and sustain project results at landscape level;
- Role of the project in establishment of appropriate policy, legislation and capacity to sustain the project results

Environmental sustainability

- Presence and severity of environmental factors, including climate change effects, that can influence sustainability of the project Outputs and Outcomes;
- Effectiveness of project strategies to address environmental risks to sustainability.

6. Country Ownership

- Level of involvement of government agencies and other key partners in the project development and implementation;
- Representativeness of the Project national and state Steering Committees;
- Level of ownership and support of the project results by key government agencies, district administrations, and local communities.

7. Gender Equity

- Level of women/men involvement in the project development;
- Quality and regular review of the project Gender Mainstreaming Plan²³;
- Presence of gender disaggregated indicators in the PRF;
- Quality of monitoring and mitigation of the project gender related risks;
- Level of women/men involvement in implementation of the project activities;
- Percentage of women/men among the project direct and indirect beneficiaries;
- Gender ratio in the PMU and Project Steering Committees.

8. Innovativeness

- Number and character of innovative approaches applied by the project²⁴;

9. Unexpected Results

- Number, character, and key drivers of the project positive or neutral unexpected results;
- Number, character, and key drivers of the project negative unexpected results;
- Quality and timeliness of monitoring, management, and reporting of the project unexpected results;

²³ Was evaluated along requirements of the UNDP Project Implementation Stage Quality Assurance Assessment Form

²⁴ The IE used the following UNDP definition of innovation: “Innovation for development is about identifying more effective solutions that add value for the people affected by development challenges – people and their governments, our users and clients” (UNDP 2017). The IE considered any new for Uganda (or globally) technology and approaches introduced by the project as innovations.

10. Replication and Scalability

- Key project lessons learned and shared;
- Number and character of the project best practices and lessons learned applied by other projects and programs in India and abroad;
- Potential applicability and scalability of the project best practices and lessons learned in India and abroad.

Data Collection Methods:

Initial data collection for the IE was done through **desk review and express-analysis** of available project design and reporting documents, as well as other publications (see Annex 9) to assess project performance along ten evaluation criteria mentioned above before the field mission. Based on preliminary findings and discussion with the PMU, UNDP and GoI, a **simple stakeholder analysis** was implemented to identify and prioritize relevant staff and the most critical project partners and stakeholders for interviews and focus groups (see Annex 2. List of project stakeholders for the IE). A detailed schedule of the evaluation field mission, interviews and focus groups was completed and adjusted in communication with the project team, UNDP, and GoI (see Annex 3. IE field mission schedule).

Based on preliminary evaluation findings and list of project stakeholders, a **project evaluative matrix** was finalized (see Annex 4. IE Evaluative Matrix). The evaluation questions were discussed with the project team and key stakeholders and assigned in questionnaires (no more than 20 questions each to collect key information) designed for each category of the project stakeholders **to collect primary data for collection of preliminary findings** (Annex 5. General questionnaire for stakeholder interviews). To design interviews and collect data, the consultants used *semi-structured individual interviews and focus groups*. The consultants tried to have as many open questions as possible to allow respondents to express their opinion on the project performance. In total the evaluation team interviewed **105 people** (52 females and 53 males) through remote (via Skype and Zoom) and in-person individual interviews and focus groups in Mumbai, Bhubaneswar, New Delhi, and project landscapes²⁵. The following stakeholder groups were interviewed: (a) National and State PMUs; (b) members of the National and State PSCs (representatives of MoEFCC, State and District Governments); (c) UNDP representatives; (d) direct project beneficiaries (Local Community members involved in the project implementation); (e) other stakeholders affected by the project in positive and negative way (e.g., Local Communities in the project landscapes) (see Annex 6. List of stakeholders interviewed during the IE).

The IE team **visited only 3 project landscapes** in Maharashtra (Palghar and Alibaug) and Odisha (Bhitarkanika) states to obtain evidences on the project performance through interviews and focus groups with district administrations and local communities, and project sites visits. The project landscapes were selected based on (a) the presence and number of the project activities (ideally both - under Output 1 and Output 2, see Annex 2: *Project activities by target landscapes by July 2022* in the IE Inception Report) and (b) availability of landscapes during the monsoon season in India. Logistics and supplies for the project district visits were provided by UNDP CO.

Along with interviewing and field visits additional data collection (**secondary data**) was conducted to verify and complete initial findings through Google Earth (satellite imageries of restoration sites) and available publications (e.g., State Forest Report 2021) and web-sites (see Annex 7. List of documents and other sources of data used by the IE). Thus, the evaluation approach allowed data collection from different

²⁵ In person focus groups were organized in full accordance to government requirements for meetings in the situation of COVID-19 pandemic

sources (documents, interviews with stakeholders, field visit, and view of available satellite imageries) and **perform triangulation** of the data to support evaluation findings²⁶.

Data Analysis

Data collected from the project document reviews and interviews (primary data) as well as data collected from other sources (secondary data: Google Earth, Internet, publications, other project reports, etc.) were summarized by 10 project design and implementation areas: (1) Project Strategy; (2) Relevance, Effectiveness and Efficiency; (3) Progress towards Results; (4) Implementation and Adaptive Management; (5) Sustainability; (6) Country Ownership; (7) Gender Equity; (8) Innovativeness; (9) Unexpected Results; and (10) Replication and Scalability. For each project design and implementation area the data were distributed by a set of criteria (see Section VI Methodology, and Annex 4. IE Evaluative Matrix). Based on the evaluation findings each criterion received a score from 0 to 5 (0 - Highly Unsatisfactory (HU), 1 - Unsatisfactory (U), 2 - Moderately Unsatisfactory (MU), 3 - Moderately Satisfactory (MS), 4 - Satisfactory (S), or 5 - Highly Satisfactory (HS)). Particular score for every evaluated element was supported by the evaluation judgement and appropriate evidence. IE rating for each project design and implementation area was calculated as a simple average of scores for each criterion, using scales from the UNDP Mid-Term Review Guidance (UNDP-GEF directorate, 2014). The analysis was completed with direct participation of the PMU staff, UNDP, MoEFCC, and representatives of the target State Governments. Such criterion-based and participatory approach to the data analysis allowed to decrease evaluation bias and make the evaluation process open, objective, and supported by necessary evidences.

Conclusions and Recommendations

Based on evaluation findings and scores for each project design and implementation area the IE consultants generated a set of evidence-based conclusions regarding the project performance. Relevant experience from similar UNDP, GCF, GEF and other projects in India (e.g., Project Terminal Reports, Evaluation Reports, and publications) was analyzed before generating recommendations to the project. That allowed the consultants to make more relevant recommendations to the project team and stakeholders supported by lessons learned from other projects. Based on the evaluation conclusions and analysis of relevant experience the consultants developed a set of specific, targeted and time-bound recommendations according to the 10 IE assessment areas to support further performance of the project. Special discussions were conducted with the project team, UNDP, and GoI to improve the project implementation in accordance with the evaluation recommendations.

4.4. IE Quality Assurance

To ensure high quality of the IE three overall and internationally agreed evaluation principles were used by the IE team²⁷:

- Independence and Impartiality
- Credibility
- Utility

Independence and Impartiality. Independence and impartiality are fundamental to the credibility and utility of evaluation. The IE team worked without the undue influence of any party and practiced freedom to choose the design of the IE and to select suitable methods and tools for data collection and analysis. None of the IE team members was involved in the design and implementation of this GCF project or any activities

²⁶ The triangulation process was performed in all cases when it was possible

²⁷ UNFPA Evaluation Office 2019. Evaluation Quality at UNFPA. Principles and their application

related to this project beyond the IE mission. The IE team was fully transparent to the project stakeholders, MoEFCC, UNDP, National and State PMU on the evaluation process and use of the data collected for the IE. The IE Report will be publicly available for all interested parties through UNDP and GCF.

Credibility. Credibility requires that both independence and impartiality are upheld, but must also be demonstrated and ensured through the competence of the evaluators. To ensure the findings and conclusions credibility the IE team produced detailed methodology to allow objective and evidence-based review of 10 IE evaluation areas based on a set of evaluation criteria. The methodology was discussed and agreed with UNDP and project team. To ensure credibility of the IE findings the triangulation process was applied. Additionally the IE team collected comments form UNDP and National and State PMUs on the IE findings, obtained additional evidences, and made necessary corrections to the findings, conclusions and recommendations. The IE team practiced human rights, gender equality and ethics in the evaluation process, trying to reflect point of views of different social groups, including marginal, and reflect discovered gender and human rights issues in the IE report.

Utility. Utility requires that evaluations be understood as a tool to influence change and stimulate learning. To ensure utility of the IE results the evaluation team used clear and understandable structure of the IE report. The IE team tried to provide a clear picture of the project performance in 2019-2022, to allow true conclusions and practical recommendations to the project team. The key idea of the IE report is to provide clear and detailed guidance for the project team to fast-track the project implementation and complete it in the most effective manner. For that the IE team focused mainly on the high priority recommendations to the project team to ensure their use right after completion of the IE process.

4.5.Limitations of the IE

The IE has some limitations that have to be considered while using the IE results:

- Limited time (only 35 days²⁸) and significant number (10) of the evaluation areas²⁹ (instead of usual four evaluation areas for UNDP MTR) allowed collection and analysis only of a fraction of data on the project performance for each evaluation area. Thus, the evaluation may not grasp all details of the project performance, but only the most significant ones;
- Only 3 project landscapes out of 24 total were visited by the IE team with only a few hours spent for interviews and project sites visit in each landscape. Thus, the evaluation could not provide details for each project landscape, but mainly key findings and recommendations for overall landscape performance and management based on evidence collected in the landscapes visited;
- The IE team could verify area of restored mangroves, as well as number of local communities and stakeholder involved in the project activities and benefiting from the project using mainly the project reports and interviews with stakeholders as the team could only visit a few project sites physically (both for restoration and livelihood activities) and verify only 3-4 restoration sites using Google Earth³⁰ ;

²⁸ 30-35 days is an average time for Mid-Term Review of GEF projects with much smaller budget (\$3-12 mln.) than the GCF project (\$43 mln.)

²⁹ The evaluation areas are: (1) Project Strategy; (2) Relevance, Effectiveness and Efficiency; (3) Progress towards Results; (4) Implementation and Adaptive Management; (5) Sustainability; (6) Country Ownership; (7) Gender Equity; (8) Innovativeness; (9) Unexpected Results; and (10) Replication and Scalability

³⁰ Some restoration sites could not be verified, because only old satellite images were available for the sites

- Some stakeholders, e.g., members of the National PSC, were unavailable for interviews and focus groups. Thus, the evaluation was not able to grasp and reflect opinions of some stakeholders and partners.

V. Project Description & Background Context

The Government of India's, the UNDP supported, GCF financed project "Enhancing Climate Resilience of India's Coastal Communities" (PIMS 5991/GCF FP084) is implemented by the MoEFCC in partnership with the Andhra Pradesh Environment, Forests, Science and Technology Department, Maharashtra Revenue and Forest Department, and Odisha Forest, Environment and Climate Change Department. The project is financially supported by GCF, the Government of India (GoI) and the State Governments of Odisha, Andhra Pradesh and Maharashtra. The total project budget is US\$ 130,268,606, including GCF grant – US\$ 43,418,606, and co-financing from the Government of India – US\$ 86,850,000. The project implementation period is June 2019 – June 2025 (6 years). The project has 24 target landscapes located in 12 coastal districts of Andhra Pradesh, Maharashtra and Odisha states; total project area is ~1,586,590 ha.

The project Objective is - to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach. The Objective is going to be achieved through delivery of three project Outputs:

- **Output 1.** Enhanced resilience of coastal and marine ecosystems and their services;
- **Output 2.** Climate-adaptive livelihoods for enhanced resilience of vulnerable coastal communities;
- **Output 3.** Strengthened governance and institutional framework for climate-resilient management of coastal areas.

The project was started on the 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation.

5.1. Development Context

The Indian coastline is expected to be amongst the regions most affected by climate change globally, negatively affecting the approximately 250 million people (14% of the country's population or 3.5% of the global population) who live within 50 km of India's coast. The Bay of Bengal and the Arabian Sea are both predicted to be subject to extreme climate variability under future climate scenarios. For example, changes in monsoon rainfall patterns and drought frequency as a result of climate change are expected to impact negatively on water resources, agricultural output, livelihoods, public health and the economy. In addition, temperatures are expected to rise by between 1.6–2.1°C compared to the 1970s. Moreover, the frequency and intensity of cyclones and extreme weather events are projected to increase, particularly on the eastern coastline. India has already experienced the impacts of climate change in coastal areas, with an increasing frequency of days with extreme temperature, intense rainfall and tropical cyclones over the period 2009–2014. Several climate change impacts are exacerbating the degradation being caused by direct human influences such as urbanization, overfishing and poorly planned coastal development. These climate impacts include ocean warming and acidification leading to coral bleaching, sea level rise reducing the area in which mangroves can thrive, and increasingly intense extreme events that damage coastal ecosystems. Ecosystem degradation, compounded by these climate impacts, has negative implications for coastal communities who are dependent on ecosystems for their livelihoods, and are at risk from periodic droughts,

saline intrusion, coastal flooding causing loss of life and property, and saline intrusion of fields, rice paddies and groundwater supply³¹.

To address the challenges, GoI through the GCF project implements urgent ecosystem-based adaptation interventions that enhance the public good and benefit vulnerable communities in the coastal zones of Andhra Pradesh, Maharashtra and Odisha. This large-scale project was developed to advance climate change adaptation across India's coastal zone, with major gains for resilience in the three target States whose coastal populations are vulnerable to extreme events and slow onset climate impacts. Historically, the focus in India, as in most countries, has been on engineering-based solutions to climate challenges, such as building concrete structures to directly increase protection from waves and flooding. However, ecosystem-based solutions are increasingly being recognized worldwide as cost-effective approaches with additional co-benefits for enhancing climate-adaptive livelihoods³².

The ecosystem-based adaptation (EbA) interventions implemented through this project are in support of the public good, since whole coastal populations will benefit from shoreline protection. In addition, restoring coastal ecosystems helps support new livelihoods for poor fishing and farming communities threatened by slow onset climate impacts. The GoI is currently investing in socio-economic development in the coastal states of India to address poverty and promote rural development. However, these investments are being undermined by the impacts of climate change, resulting in diminishing development gains³³.

Through the GCF project, government at national level and in the three target states is implementing commitment to integrating climate risk management into coastal development. Currently, however, the public sector lacks the knowledge and technical capacity to pursue an ecosystem-based approach to adaptation, and to engage the private sector and civil society in these efforts. The GCF investment enables this paradigm shift, embedding a new ecosystem- and community-based approach to coastal adaptation in the way India's coast is managed³⁴.

The GCF project directly contributes to implementation of the GoI's Twelfth Five Year Plan (2012–2017)³⁵, India's National Action Plan on Climate Change (NAPCC)³⁶, India's Nationally Determined Contribution (NDC)³⁷, Andhra Pradesh State Action Plan on Climate Change³⁸, Maharashtra State Adaptation Action Plan on Climate Change³⁹, and Odisha Climate Change Action Plan⁴⁰ (see details in the sub-section 3.2. Relevance, Effectiveness, and Efficiency).

³¹ UNDP/GCF Project Document "Enhancing Climate Resilience of India's Coastal Communities" (PIMS 5991/GCF FP084)

³² Ibid

³³ Ibid

³⁴ Ibid

³⁵ Planning Commission, Government of India. 2013. Twelfth Five Year Plan (2012/2017). Volumes 1 and 2

³⁶ Government of India 2008. National Action Plan on Climate Change (NAPCC)

³⁷ India's Intended Nationally Determined Contribution (NDC). Working Toward Climate Justice. 2015

³⁸ Andhra Pradesh State Action Plan on Climate Change. March 2012

³⁹ Department of Environment, Government of Maharashtra 2014. Assessing Climate Change Vulnerability and Adaptation Strategies for Maharashtra: Maharashtra State Adaptation Action Plan on Climate Change (MSAAPC)

⁴⁰ Odisha Climate Change Action Plan 2018-2023

5.2. Problems that the project sought to address

The GCF project document and Annex II. Feasibility Assessment identify the following direct threats to coastal ecosystems and local communities in the project areas (and the entire Indian coast):

Climate Threats:

- *Increasing air and water temperatures, frequency and magnitude of heat waves;*
- *Increasing sea level and associated saline intrusions;*
- *Increasing frequency and magnitude of extreme climate events (erratic and heavy rainfalls, severe draughts, storms, and floods);*
- *Increasing ocean acidification.*

Non-Climate Threats:

- *Mangrove logging and degradation;*
- *Human alteration of freshwater flow from upstream;*
- *Coastal development and construction;*
- *Conversion to agriculture and aquaculture;*
- *Industrial and agricultural pollution;*
- *Invasive species;*
- *Bottom trawling and dredging;*
- *Beach mining*

The project aims to remove the following barriers on the way to reduce and mitigate the above threats in the project landscapes and country:

- ***Barrier 1:*** *Inadequate information on climate vulnerabilities for local-level adaptation planning for the coastal zones;*
- ***Barrier 2:*** *Limited knowledge of and support for the role of EbA in enhancing adaptive capacity;*
- ***Barrier 3:*** *Limited technical and financial capacity for communities to adopt climate-adaptive livelihood opportunities;*
- ***Barrier 4:*** *Weak linkages in climate-resilient value chains for commodities underpinned by ecosystem goods and services;*
- ***Barrier 5:*** *Limited institutional capacity for mainstreaming climate change into coastal zone planning, governance and finance*

5.3. Project strategy, expected results, and target areas

The project **Objective** - *to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach* - is going to be achieved via delivery of three project Outputs:

- **Output 1.** *Enhanced resilience of coastal and marine ecosystems and their services.* The Output is delivered through the following Activities: **Activity 1.1.** *Conducting vulnerability assessment of the coast to inform planning of ecosystem- and community based adaptation interventions;* **Activity 1.2.** *Community-based conservation and restoration of coastal ecosystems for increasing ecosystem resilience.*
- **Output 2.** *Climate-adaptive livelihoods for enhanced resilience of vulnerable coastal communities* with the following Activities: **Activity 2.1.** *Building climate-adaptive livelihoods and enterprises through value chains and strengthened access to markets* and **Activity 2.2.** *Improving capacities of local communities for community-based adaptation and climate-adaptive livelihoods.*
- **Output 3.** *Strengthened governance and institutional framework for climate-resilient management of coastal areas* with three Activities: **Activity 3.1.** *Network of institutions for enhanced climate resilience and integrated planning and governance in all coastal states,* **Activity 3.2.** *Integrating ecosystem-centric approaches to climate change adaptation into public and private sector policies, plans and budgets, and scaling up finance for EbA,* and **Activity 3.3.** *Knowledge management for coastal resilience*

There are three project States:

- **Andhra Pradesh** (7 landscapes: Pulicat Lake, Nelapattu Bird Sanctuary, Krishna Wildlife Sanctuary, Bantumilli Wetlands, Coringa Wildlife Sanctuary, Telineelapuram, and Sompeta);
- **Maharashtra** (10 landscapes: Devgad, Malvan, Vengurla, Dapoli, Guhagar, Rajapur, Alibaug, Shrivardhan⁴¹, Palghar, and Dahanu); and
- **Odisha** (7 landscapes: Chilika (Ganjam), Bahuda, Chilika (Puri), Devi Mouth, Talasari, Bhitarkanika, and Mahanadi Mouth).

Total project area of ~1,586,590 ha, however, currently project activities are implemented only in two states – Maharashtra and Odisha.

“The target states were selected by GoI based on: i) high vulnerability to the impacts of climate change; and ii) representation of the range of India’s coastline, including both east and west coast areas. In addition, the selection of these three states enables GoI to implement ecosystem-based adaptation to climate change across a range of circumstances, in terms of: i) biophysical vulnerability to climate impacts; ii) coastal ecosystems (including mangroves, seagrass, saltmarshes, coral reefs and coastal lagoons); and iii) socio-economic vulnerability including per capita income level (including states with very low, low and medium per capita incomes)”⁴².

Similar criteria were used for selection of the project landscapes (Fig. 2-4):

- physical exposure to current and future climate change;
- socio-economic vulnerability directly related to climate change impacts;
- presence of coastal habitats that promote climate resilience⁴³.

⁴¹ In December 2020 the Mangrove Cell of Maharashtra submitted the request to MoEFCC to remove two project landscapes – Uran and Panvel, and add Alibaug and Shrivardhan instead

⁴² GCF Funding Proposal, paragraph 19

⁴³ Annex II: Feasibility Study, pp. 128-129

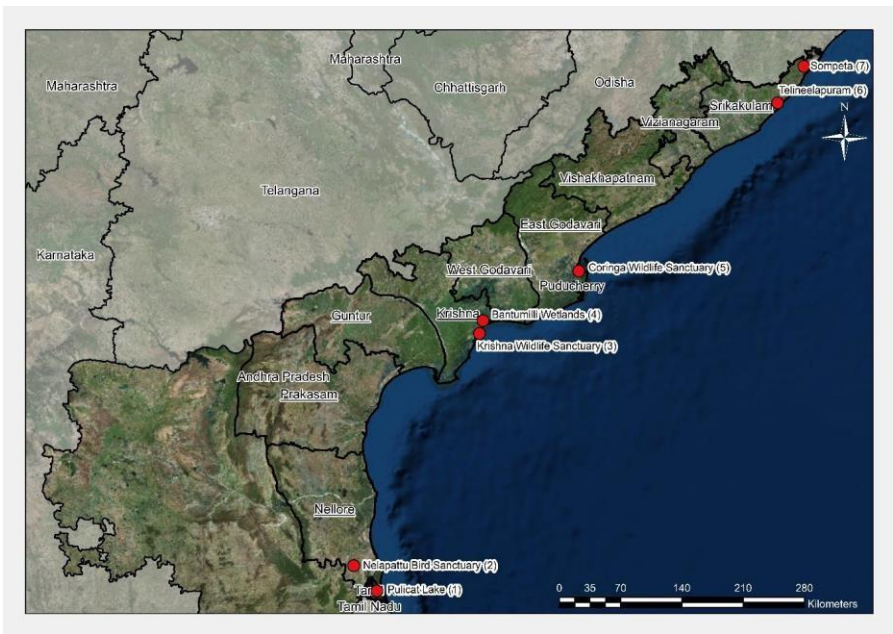


Figure 2. Project landscapes in Andhra Pradesh (adopted from the Annex IX: Maps indicating the location of the project)

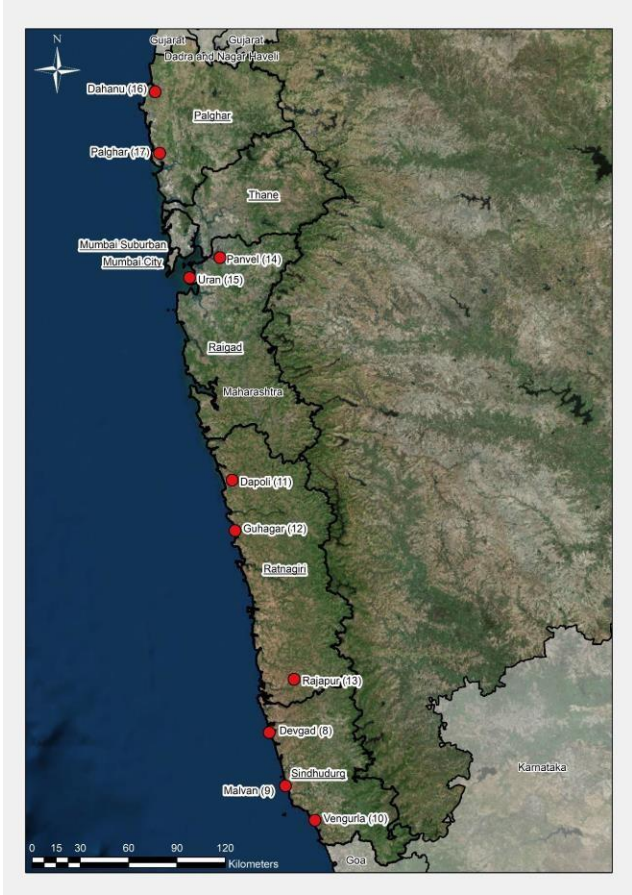


Figure 3. Project landscapes in Maharashtra (adopted from the Annex IX: Maps indicating the location of the project)

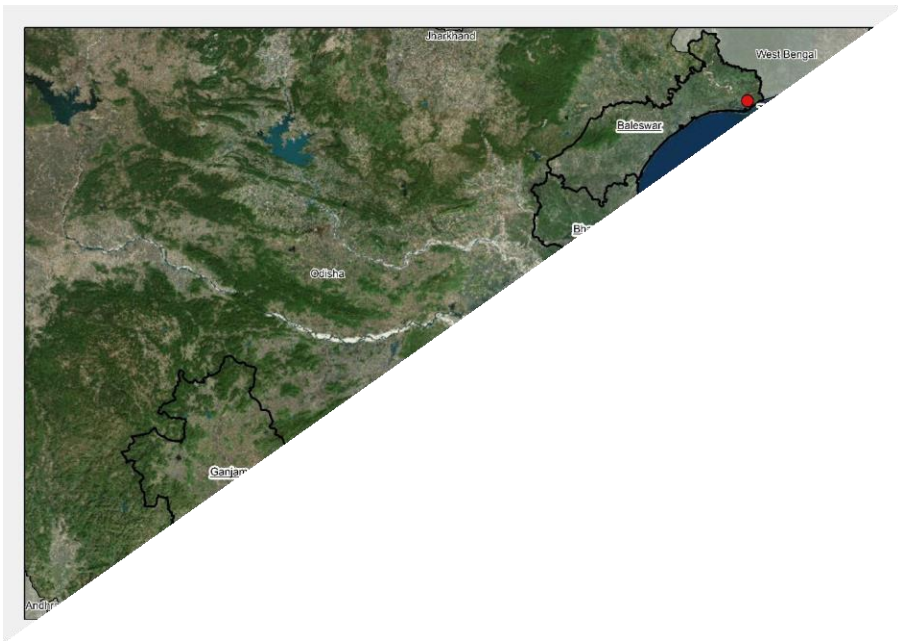


Figure 4. Project landscapes in Odisha (adopted from the Annex IX: Maps indicating the location of the project)

5.4. Project implementation arrangements

Proposed project implementation arrangements represent quite complex and multi-level structure (Fig. 5A). This is a National Implementation Modality (NIM) project, led by MoEFCC (**Implementing Partner**) and supported by **3 Responsible Parties (RPs)**: (1) Environment, Forests, Science and Technology Department in the state of Andhra Pradesh; (2) Revenue and Forest Department in the state of Maharashtra; and (3) Odisha Forest, Environment and Climate Change Department. The project proposed to establish a **National Project Steering Committee (PSC)** and **3 State PSCs** (in Andhra Pradesh, Maharashtra, and Odisha) to supervise project implementation at national and state levels. For the project management it was suggested to establish **National Project Management Unit (PMU)** and **3 State PMUs**, supported at national level by the **Technical Advisory Group** and **Committee on Coastal Governance** and at the state level - by the **District/Landscape Level Coordination Committees** and **Landscape level PMUs**.

At the stage of the Interim Evaluation (July-August 2022), the project management structure mainly reflects what was proposed in the GCF project document. However, it is still incomplete and not fully functional. For example, National PMU was formed only in June-August 2022 and still has one staff positions vacant. Andhra Pradesh State PMU will be established only by the end of September 2022. Maharashtra State PMU needs the State Project Manager and additional staff. Odisha State PMU needs Finance&Administrative Officer and 3 District Coordination Officers. National PSC was formed in 2020, but had only two meetings in 2019-2022 so far (see Fig. 5 B).

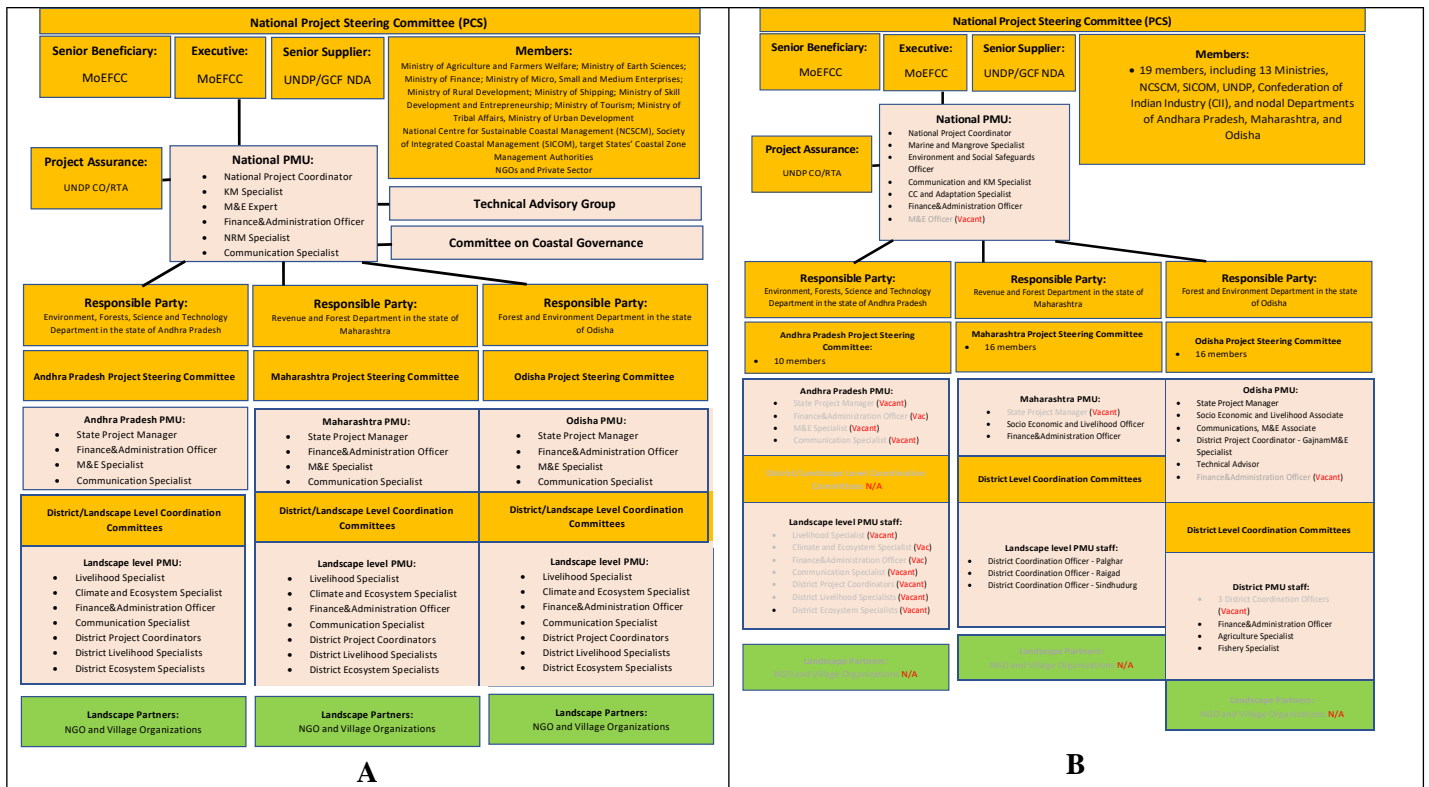


Figure 5. Project Management Structure: A – in the project document; B – actual by the project mid-term

5.5. Key partners and stakeholders involved in project implementation

The Key project stakeholders are listed in the Table 2 (see full list of the project stakeholders in the Annex 2. List of project stakeholders for the IE).

Table 2. Key stakeholders of the GCF project in India and their roles in the project implementation

Stakeholder	Role in the project
Ministry of Environment, Forest and Climate Change (MoEFCC)	<ul style="list-style-type: none"> Implementing Partner and Responsible Party for partial delivery of the Outputs 1 and 3; Chairs National PSC; Provides co-financing
Environment, Forests, Science and Technology Department in the state of Andhra Pradesh	<ul style="list-style-type: none"> Responsible Party for delivery of the Outputs 1-3 in Andhra Pradesh; Member of National PSCs; Will Host Sate PMU; Provides co-financing
Revenue and Forest Department in the state of Maharashtra	<ul style="list-style-type: none"> Responsible Party for delivery of the Outputs 1-3 in Maharashtra; Member of National PSCs; Hosts Sate PMU; Provides co-financing

Forest and Environment Department in the state of Odisha	<ul style="list-style-type: none"> • Responsible Party for delivery of the Outputs 1-3 in Odisha; • Member of National PSCs; • Hosts State PMU; • Provides co-financing
UNDP	<ul style="list-style-type: none"> • GCF Accredited Entity; • Project Oversight and Quality Assurance; • Channels project funding from GCF to the IP and RPs; • Member of National PSC • Host National PMU • Direct Services to GoI on the project
The National Centre for Sustainable Coastal Management (NCSCM)	<ul style="list-style-type: none"> • Member of National PSC; • Technical support to the project; • Ecological and social vulnerability assessment in the project States
District Governments of 12 project districts	<ul style="list-style-type: none"> • Project Partners for delivery Outputs 1-2 in the target landscapes; • Members of State PSCs and District PSCs • Direct project beneficiaries
NGOs and Village Organizations in the project landscapes	<ul style="list-style-type: none"> • Project Partners for delivery Outputs 1-2 in the target landscapes; • Direct project beneficiaries
Local Communities in the project Landscapes	<ul style="list-style-type: none"> • Project Partners for delivery Outputs 1-2 in the target landscapes; • Direct project beneficiaries.

VI. Findings

6.1. Project Strategy

Overall Rating: *Satisfactory (S)*. Project Strategy review was implemented based on the analysis of the GCF project proposal and Annexes. The project proposal was developed based on the good review of the lessons learned from at least 10 previous projects and initiatives for coastal ecosystem restoration and adaptation community livelihood, funded by the World Bank, ADB, GIZ, GEF, and UNDP. During the project development at least 1,552 stakeholders were consulted at national, state and landscape levels, however, share of women and Scheduled Casts and Tribes among the stakeholders is unknown. Three project risks in the Risk Log are of *High Impact*. Overall SESP Risk is assessed as *Moderate*, however, some obvious social and environmental risks have not been considered in the project SESP. There is a strong intersection between risks in the Project Risk Log and SESP (4 risks are the same), no sufficient explanation of SESP risks is provided; SESP and ESMF risks and mitigation measures do not correspond each other. The selection of the project states and landscapes is explained and very reasonable. The project is designed to address a set of specific and relevant climate and non-climate threats for India coastal ecosystems and communities through removal of clearly identified barriers. The project Theory of Change (ToC) does not directly correspond to Output, Outcome, and Impact indicators in the Project Results Framework (PRF); ToC had been corrected for evaluation purposes (see Table 1). The project proposal does not specify the project specific Outcomes and Impacts and use standard GCF Outcome and Impact

indicators in the PRF. Project Activities are correctly phrased and described in sufficient details in most cases, including budgets; however, a few sub-activities for Activities 1.1, 1.2, and 3.2 need further clarification to allow their delivery. PRF is not absolutely logical and have a lot of redundant indicators that do not add additional value and clarity. Some Indicator targets are very ambitious and do not look realistic (e.g., restoration target for coral reefs and salt marshes and total number of people practicing adaptation livelihood). See details in the Table 3.

Table 1. Project expected Outputs, Outcomes, and Impacts revised for Evaluation purposes

Outputs	Outcomes	Impacts
<p>Output 1: Restored and protected coastal ecosystems</p> <ul style="list-style-type: none"> Restored coastal ecosystems: 10,575 ha of mangroves, 700 ha of saltmarshes, 85 ha of seagrass beds, 35 ha of coral reefs and 3,550 ha of coastal watersheds (14,950 ha total); Established in 24 landscapes community co-management structures to ensure long-term sustainability of restored (and existing) coastal ecosystems; 	<p>Outcome 1: Increasing area of coastal ecosystems (no ecosystem loss after the end of the project) in the project landscapes contributes to the ecosystem resilience to climate change</p>	<p>Impact 1: Resilient coastal ecosystems (a) provide adaptation benefits (mitigation of economic damages and losses associated with extreme weather events) to 10 million people (50% female) living in the project landscapes⁴⁴; and (b) sequester 122,766 tons of carbon dioxide equivalent (t CO2 eq) per year, with 3,682,980 t CO2 eq sequestered over a 30-year period (including the project lifetime)⁴⁵</p>
<p>Output 2: 348,994 local people (60% female) in the project landscapes are trained and supported on adaptive livelihood options⁴⁶;</p>	<p>Outcome 2: 1,744,970 local people (50% female) in the project landscapes practice climate-smart agriculture and adaptive livelihood options and benefit from climate adaptation⁴⁷;</p>	<p>Impact 2: Increased climate socio-economic resilience (decreased climate vulnerability) of the project landscapes</p>
<p>Output 3: Strengthened policy, governance and institutional framework for climate-resilient management of coastal areas</p> <ul style="list-style-type: none"> A pan-Indian Coastal Resilience Network is established and operational with participation of 13 coastal states; National Coastal Mission (NCM) established and has climate adaptation and EbA program and KM system; EbA plans for four coastal Smart Cities (Kalyan in Maharashtra; Kakinada and Visakhapatnam in Andhra Pradesh; and Bhubaneswar 	<p>Outcome 3: National and coastal state governments implement climate-resilient management of coastal areas</p> <ul style="list-style-type: none"> All 13 coastal state CZM Plans are climate-smart and integrate EbA: score at least 75% in all 4 categories (1. Climate impacts, 2. Adaptation measures, 3. Use of EbA, and 4. use of community centred approach)⁴⁸; All 13 coastal states have annual budget for EbA implementation 	<p>Impact 3: Increased climate resilience of 13 coastal states</p>

⁴⁴ Rephrased GCF Core Indicator (Impact): Total number of direct and indirect beneficiaries (% of whom is female). This number indicates total indirect project beneficiaries.

⁴⁵ GCF Core Indicator (Impact): Expected tonnes of carbon dioxide equivalent (tCO2 eq) to be reduced or avoided

⁴⁶ Corrected original Output 2 Indicator: Number of males and females adopting diversified, climate resilient adaptive practices. Original Indicator 2 sounds like Outcome, not Output.

⁴⁷ GCF Outcome Indicator 7.1: Use by participating households of support on climate adaptive livelihoods and value chains, and benefit by at risk households from reduced disaster exposure. This Indicator is the same as GCF Impact Indicator 1.2: Number of males and females benefiting from the adoption of diversified, Climate adaptive livelihood options (including fisheries, agriculture, tourism, etc.). Also, this indicator is repeated again as the GCF Core Indicator (Impact): Total number of direct and indirect beneficiaries (% of whom is female). This number indicates total direct project beneficiaries.

⁴⁸ GCF Outcome Indicator 5.1: Degree of integration of climate change including EbA in 13 coastal states' Coastal Zone Management Plans

<p>in Odisha) is developed and implemented;</p> <ul style="list-style-type: none"> • Coastal town planners and engineers trained on the Coastal Calculator Tool and EbA for shoreline protection and climate-resilient infrastructure; • Interdepartmental ICZM platforms in 13 coastal states equipped to use scenario planning for BaU vs EbA in the coastal zone development; • National and State officials are trained on EbA, using specially developed EbA course; • Climate-Risk Management and EbA principles are integrated in the national and state policies, schemes, and legislation 		
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Table 3. Analysis of the Project Strategy

Evaluation criteria	Evaluation Rating (Score)	Justification
<p>Incorporation of lessons learned from similar projects in the project design</p>	<p>HS (5)</p>	<p>The project is based on recommendations, lessons and best practices of more than 20 different national and state level projects and programs targeting coastal ecosystem conservation and restoration, and community sustainable livelihoods in India. Detailed information about the previous projects can be found in the Annex II Feasibility Assessment, Section 4 - <i>Past and ongoing efforts related to coastal development and resilience</i>, pp. 71-100. Key lessons learned and best practices from the previous projects are summarized in the Section 6 - <i>Best practices and lessons learned</i>, pp. 110-114, Annex II Feasibility Assessment. The project specifically relied on the lessons from the Asian Development Bank (ABD)-managed Special Climate Change Fund project “India: Climate Resilient Coastal Protection and Management” working in Karnataka and Maharashtra, and the GIZ-funded AdaptCap Project in coastal Tamil Nadu and Andhra Pradesh. The project builds on all these initiatives’ lessons of cost- effectiveness and efficiency of delivery of activities and outputs on coastal ecosystem protection, restoration, and adaptive livelihood (GCF Funding Proposal, paragraph 242). In relation to the implementation of the project through a community-based approach, important lessons have been applied from key related initiatives:</p> <ul style="list-style-type: none"> • The Integrated Coastal Zone Management Project (World Bank, GoI, 2010–2017, US\$ 286 million); • The project Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise (Adaptation Fund, NABARD, 2015–2019, US\$ 689,264); • The project Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in Sindhudurg Coast in Maharashtra (GEF, UNDP, MoEFCC, 2011–2016, US\$ 3,4 million) • The project Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the East Godavari River Estuarine Ecosystem (EGREE), Andhra Pradesh (GEF, UNDP, MoEFCC, 2011–2018, US\$ 6 million) (GCF Funding Proposal, paragraph 250); • The project of the GoI, World Bank, and Government of Odisha: National Cyclone Risk Mitigation Project, Odisha (GCF Funding Proposal, Annex XIV – Responses to GCF Comments on Funding Proposal page 55);

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>• UNDP support to the Ministry of Environment, Forest and Climate Change on preparation of a series of State Action Plans on Climate Change (SAPCCs): the three projects state's plans have been incorporated into the project (GCF Funding Proposal, paragraph 255).</p> <p>Apart from the major projects indicated above, other projects (like the Joint Mangrove Management Project and Coastal Wetlands: Mangrove Conservation and Management implemented in 6 major mangrove wetlands along the east coast of India from 1996 to 2005), which are small in terms of budget, contributed immensely to developing science-based and participatory management of coastal ecosystems, mainly restoring and conserving the mangrove wetlands. The GCF project captured some important lessons from these low-budget but high-impact projects too (mainly the lessons on mangrove restoration techniques and community co-management of coastal ecosystems).</p> <p>Also, the project development team learned additional lessons and collected recommendations during stakeholder consultations in the project districts, especially on preferable types of sustainable livelihood that can be supported by the project, community co-management of coastal ecosystems, and gender mainstreaming. These lessons were incorporated in Activities 1.2, 2.1 and 2.2 (GCF Funding Proposal, paragraphs 235-236).</p>
Stakeholder consultation and decision-making process, including involvement of vulnerable groups and relevant gender issues	S (4)	<p>The project was designed through extensive stakeholder consultations, including engagements with civil society role-players, that influenced the development of the proposal (GCF Funding Proposal, paragraph 3). During 2016-2017 the MoEFCC led the process of consultations with key stakeholders at a national level. In the three target states, consultations have been led by the Environment, Forests, Science and Technology Department in the State of Andhra Pradesh, the Revenue and Forest Department in the state of Maharashtra, and the Forest and Environment Department in the state of Odisha. In Odisha, discussions were facilitated by the Integrated Coastal Zone Management Programme of the Forest and Environment Department (GCF Funding Proposal, paragraph 233). Annex XIII(d) – <i>Stakeholder Consultations</i> summarizes minutes of key consultative meetings and events during project development in 2016-2017 (some minutes have list of stakeholders consulted). In total ~ 60 consultative meetings were held, including 20 - with local communities in the project landscapes (Annex XIII(d) – Stakeholder Consultations, p. 1). Total number of stakeholders consulted in accordance to the Annex XIII(d) is 1552 (Annex XIII(d), pp. 2-3). The Annex does not specify share of women and other vulnerable group (Scheduled Casts and Scheduled Tribes) representatives in the consultations.</p>
Realistic assessment of risks to the project and risks that can be produced by the project	MS (3)	<p>The project mentions the following 10 risks to the project implementation (GCF Funding Proposal, section G.2. Risk Factors and Mitigation Measures, pp. 86-91):</p> <ol style="list-style-type: none"> 1. <i>Limited capacity of government officers and community members (including self-help groups, CBOs, etc.) to plan and implement restoration and livelihood support interventions</i> (I = High; P = Medium); 2. <i>Limited coordination between government ministries, UNDP, communities, NGOs/CBOs, private sector and other stakeholders reduces the efficiency and effectiveness of implementation of project interventions</i> (I = Low; P = Medium); 3. <i>Extreme weather events impact restoration and livelihoods activities, either preventing their implementation or reducing their efficacy</i> (I = High; P = Medium); 4. <i>Limited awareness and sensitization of local communities reduces rates of adoption of livelihood practices and involvement in EbA interventions</i> (I = High; P = Low); 5. <i>Project activities result in collateral environmental degradation</i> (I = High; P = Low);

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>6. <i>Livelihood support may not add significantly to income generation of local people (I = Medium; P = Low);</i></p> <p>7. <i>Conflict between potential beneficiaries of livelihood interventions in target communities (I = Medium; P = Low);</i></p> <p>8. <i>Limited involvement and participation of women and other marginalized groups in project implementation (I = Medium; P = Low);</i></p> <p>9. <i>Project support to climate-adaptive aquaculture unintentionally leads to increase in wild harvesting of breeding stock or mature organisms (I = Medium; P = Low);</i></p> <p>10. <i>Project support to climate-adaptive aquaculture leads to excessive pollution of creeks and degraded environment (I = Medium; P = Low)</i></p> <p>Three project risks in the Risk Log have High Impact. The Annex K- UNDP Risk Log is developed in accordance with UNDP standards. Risks 5, 8, 9, and 10 are environmental and social risks that usually considered under SESP risks (the risks that the project can produce or lead to). The project Risk Log does not consider such obvious project risk as negative effect of anthropogenic activities on sustainability of the project results (e.g., the risk that restored ecosystems can be degraded or eliminated again through unsustainable use of natural resources). Additionally, the IE Team consider the Risk #2 above as High Impact, because the lack of inter-sectoral cooperation and joint planning by different government departments leads to qualitative and quantitative degradation of mangroves due to reducing freshwater inflow into the mangroves, particularly in Andhra Pradesh and Odisha. Increasing freshwater flow into the mangroves is possible only if the departments that manage river water resources work with the other departments, such as the Forest Department, which is primarily responsible for managing the mangroves. In fact, the success of all project activities depends mainly on the collaboration of different departments.</p> <p>Overall project SESP risk is assessed as <i>Moderate</i>. The project SESP considers 9 social and environmental risks that are partially explained in the SESP. For example, it is not explained what specific negative impact the project may have on Protected Areas (<i>Risk 4: The project will include activities in or near sensitive areas</i>), what is specific risk of mangrove restoration activities (<i>Risk 5: The Project involves reforestation and exploitation of forest areas</i>), or specific risk for Scheduled Castes and Tribes in the project sites (<i>Risk 8: Scheduled Castes and Tribes are known to occur in some States and utilize some of the natural resource areas</i>). The risks in SESP are not classified in accordance with UNDP SES Principals and Standards⁴⁹. The SESP does not consider gender-specific risks (<i>Principle 2: Gender Equality and Women's Empowerment</i>), however, mentions this risk (Risk 8) among the project risks above. Given the planned project activities (ecosystem restoration and community livelihood development) the following category of risks had to be considered during the project design: <i>Principle 1: Human Rights and Standard 5: Displacement and Resettlement</i> (as ecosystem restoration process can potentially negatively affect marginal communities and displace them from the land located in the converted ecosystems and lead to loss of arable land, other important natural resources, and income). For example, many coastal fishing communities in India may have only homestead land (housing titles and not other rights over other coastal spaces thus making community beaches and other spaces as commons or land belonging to the state. This situation can produce potential conflicts with local communities over ecosystem restoration activities by the project and complicate ecosystem co-management arrangements. Additionally, SESP duplicates 4 project risks (# 1,3, 5 and 10 above).</p> <p>Mitigation measures are briefly described for both project implementation and SESP risks. Additionally, the project has the Environmental and Social Management</p>

⁴⁹ Annex II: Feasibility Assessment for the GCF Proposal

Evaluation criteria	Evaluation Rating (Score)	Justification
		Framework (ESMF) that does not correspond to the SESP assessment and consider different risks and mitigation measures.
Adequacy of selection of the project sites	S(4)	<p>The GCF prodoc specifies 24 project landscapes, located in three states:</p> <ul style="list-style-type: none"> • Andhra Pradesh (7 landscapes: Pulicat Lake, Nelapattu Bird Sanctuary, Krishna Wildlife Sanctuary, Bantumilli Wetlands, Coringa Wildlife Sanctuary, Telineelapuram, and Sompeta); • Maharashtra (10 landscapes: Devgad, Malvan, Vengurla, Dapoli, Guhagar, Rajapur, Uran, Panvel, Palghar, and Dahanu); and • Odisha (7 landscapes: Chilika (Ganjam), Bahuda, Chilika (Puri), Devi Mouth, Talasari, Bhitarkanika, and Mahanadi Mouth). <p>Total project area is ~1,586,590 ha.</p> <p>“The target states were selected by GoI based on: i) high vulnerability to the impacts of climate change; and ii) representation of the range of India’s coastline, including both east and west coast areas. In addition, the selection of these three states enables GoI to implement ecosystem-based adaptation to climate change across a range of circumstances, in terms of: i) biophysical vulnerability to climate impacts; ii) coastal ecosystems (including mangroves, seagrass, saltmarshes, coral reefs and coastal lagoons); and iii) socio-economic vulnerability including per capita income level (including states with very low, low and medium per capita incomes)”⁵⁰.</p> <p>Similar criteria were used for selection of the project landscapes (Fig. 2-4):</p> <ul style="list-style-type: none"> • physical exposure to current and future climate change; • socio-economic vulnerability directly related to climate change impacts; • presence of coastal habitats that promote climate resilience⁵¹. <p>“Consultations with government stakeholders were then conducted to identify intervention sites at the sub-district level in prioritized districts. A multi-criteria analysis was developed and through further community consultations, specific sites with high priority scores were selected in districts”⁵².</p> <p>Project interventions for the Outputs 1 and 2 were proposed for each of the project landscapes, including potential restoration targets for different ecosystems and adaptation livelihood options⁵³</p> <p>So, the project sites selection was done through multi-factors participatory process and the final set of selected landscapes in quite reasonable. Despite big total number of landscapes (24) and large project area (more than 1,500,000 ha) the project ecosystem restoration targets (14,950 ha total) are realistic, with a few exclusions discussed below.</p>
Adequacy of Direct Threats (both climate and non-climate) to India’s coastal ecosystems and local communities addressed by the project	S(4)	<p>From GCF project document we were able to extract the following direct threats to coastal ecosystems and local communities in the project areas (and the entire Indian coast):</p> <p>Climate Threats:</p> <ul style="list-style-type: none"> • <i>Increasing air and water temperatures, frequency and magnitude of heat waves;</i> • <i>Increasing sea level and associated coastal erosion and saline intrusions;</i> • <i>Increasing frequency and magnitude of extreme climate events (erratic and heavy rainfalls, sever draughts, storms, and floods);</i>

⁵⁰ GCF Funding Proposal, paragraph 19

⁵¹ Annex II: Feasibility Study, pp. 128-129

⁵² Annex II: Feasibility Study, p. 128

⁵³ Annex II: Feasibility Study, in the Annex 5: Additional information on proposed target landscapes, pp. 265-270

Evaluation criteria	Evaluation Rating (Score)	Justification
		<ul style="list-style-type: none"> • <i>Increasing ocean acidification.</i> <p>Non-Climate Threats:</p> <ul style="list-style-type: none"> • <i>Mangroves logging and degradation;</i> • <i>Human alteration of freshwater flow from upstream;</i> • <i>Coastal development and construction;</i> • <i>Conversion of coastal ecosystems to agriculture;</i> • <i>Industrial and agricultural pollution;</i> • <i>Invasive species;</i> • <i>Bottom trawling and dredging;</i> • <i>Beach mining</i> <p>The project aims to directly address non-climate threats to the coastal ecosystems and communities (all above, except probably pollution and invasive species) that can exacerbate climate threats. At the same time through restoration and protection of coastal ecosystems and introduction of adaptive livelihood the project targets to mitigate climate threats to the extent possible.</p> <p>So, the direct threats are correctly identified by the project proposal.</p>
<p>Correct identification of Indirect Threats (immediate and root causes) and barriers for sustainable solution</p>	<p>S (4)</p>	<p>No Problem Tree (or Conceptual Model) diagram was developed for this project (recommended by UNDP for all project⁵⁴) to clearly demonstrate linkages between direct and indirect threats for coastal ecosystems and communities. Drivers and root causes behind the direct non-climate threats to coastal ecosystems and communities are more or less outlined in the sections <i>C.1. Strategic Context</i> and <i>C.2. Project / Programme Objective against Baseline</i> (e.g., low awareness on the role of coastal ecosystems as effective barriers to mitigate extreme climate events, low capacity to protect and restore coastal ecosystems, unawareness about sustainable and climate smart livelihood options, etc.). Barriers on the way to address direct threats for coastal ecosystems and target communities are logical and the following:</p> <ul style="list-style-type: none"> • Barrier 1: <i>Inadequate information on climate vulnerabilities for local-level adaptation planning for the coastal zones;</i> • Barrier 2: <i>Limited knowledge of and support for the role of EbA in enhancing adaptive capacity;</i> • Barrier 3: <i>Limited technical and financial capacity for communities to adopt climate-adaptive livelihood opportunities;</i> • Barrier 4: <i>Weak linkages in climate-resilient value chains for commodities underpinned by ecosystem goods and services;</i> • Barrier 5: <i>Limited institutional capacity for mainstreaming climate change into coastal zone planning, governance and finance</i>
<p>Clarity of the project Theory of Change</p>	<p>MS (3)</p>	<p>The Theory of Change diagram (recommended by UNDP and GEF) was used to describe the project theory of change and demonstrate links between project Outputs, Outcomes, and Impacts (section E.1.1. Mitigation / adaptation impact potential, p. 49). In the diagram project Outputs actually sound like Outcomes (results that are not under full control of the project team). For example, under Output 1 the project can only restore and protect coastal ecosystems, but climate resilience of the ecosystems depends on many factors that are outside of the project control (e.g., ecosystem sensitivity and exposure to climate change as well its adaptive capacity). All that factors can be influenced by the project only partially. Similarly, under the Output 2 the project can only provide adaptive livelihood options to local communities and train them to apply climate-smart livelihood approaches. But this is up to local communities to use provided options and apply new skill that improve their adaptive capacity and increase resilience to climate change. Likewise, under</p>

⁵⁴ UNDP 2009. Handbook on Planning, Monitoring and Evaluating for Development Results.

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>Output 3 the project can integrate EbA in the government policies, plans and legislation and train different government officers to apply EbA. But it is probably not under the project control to strengthen the EbA governance, that means actual application of the EbA in practice by national and state governments (this is project Outcome). This is not under the project control. Project Outcome and Impact in the ToC diagram are just partial or full repetitions/re-phrasings of the project Outputs. The Assumptions present on the diagram are about how the project activities will lead to the project Outputs. In the Results-Based Management assumptions should demonstrate how the project Outputs will lead to Outcomes and Impacts. The IE Team reconstructed the Theory of Change (see Annex 1), for evaluation purposes, to correctly measure delivery of the project Outputs and achievement the project Outcomes.</p>
<p>Clarity of Activities, Outputs and Outcomes for implementation</p>	<p>MS(3)</p>	<p>The Project has 3 Outputs and 7 Activities. Project Outcomes are not provided in the Expected Results section (section C.3. <i>Project / Programme Description</i> in the GCF proposal), however, the project uses standard GCF Outcomes and Impacts in the PRF that are redundant with the project Outputs: some Output, Outcome, and Impact indicators reflect the same target values (see details below in the next subsection below <i>SMARTness and relevance of Impact, Outcome and Output indicators</i>). Project Outputs were discussed in the previous section. Activities are correctly phrased and described in sufficient details in most cases, providing clarity on what the project is going to deliver. Additional details on the proposed project Activities and deliverables (especially under the Outputs 1 and 2) are provided by the project landscapes⁵⁵. Activities have detailed budgets, including sub-activities, needed for implementation of each of them⁵⁶. Timelines for implementation of Activities are provided in the Annex E to the GCF project document⁵⁷. At the same time, a few project sub-activities does not provide sufficient clarity and the National PMU does not fully understand what should be delivered under the activities, e.g., a Decision-Support Tool for adaptation planning at state and national levels (Activity 1.1) and a Coastal Calculator tool, using EbA (Activity 3.2). Additionally, under Activity 1.2 the project suggests restoration of salt marshes, but this ecosystem type is not clearly defined in India.</p>
<p>SMARTness and relevance of Impact, Outcome and Output indicators</p>	<p>MS(3)</p>	<p>The Project Result Framework certainly provides some useful indicators for measuring project progress (e.g., Output Indicators). However, the PRF is not absolutely logical and have a lot of redundant indicators that do not add additional value and clarity.</p> <p>Output 1 Indicator <i>Numbers of hectares of coastal ecosystems disaggregated by type – that are successfully restored to reduce the impact of climate induced disasters and other climate change impacts</i> is absolutely correct and provide clear guidance to the project team on the ecosystem restoration targets, except coral reefs (the end of the project target is very ambitious) and salt marshes (there is no understanding among the project team what specifically need to be restored in this case due to lack of clear definition of this ecosystem in India). Given that the project not only restore coastal ecosystem, but also protect existing ones, we would recommend to add one more indicator for the Output 1, namely <i>Total area of coastal ecosystems put under protection and sustainable co-management by the project</i>.</p> <p>Output 2 Indicator <i>Number of males and females adopting diversified, climate resilient adaptive practices</i> is actually an Outcome indicator (cannot be controlled in full by the project). Actually, it demonstrates how many people the project aims to support with adaptive livelihood options and trainings, but not how many people actually adopt new livelihood approaches. This number might be much lower (or higher) than the number of people trained and supported.</p>

⁵⁵ Annex II: Feasibility Study, in the Annex 5: Additional information on proposed target landscapes, pp. 265-270

⁵⁶ GCF project Document, Section IX. Total Budget and Work plan, pp. 41-55

⁵⁷ GCF project Document, Annex E. Timetable of the Project Implementation, pp. 67-70

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>Outputs 3 Indicators <i>National Coastal Mission in existence and operational, Pan-Indian Coastal Resilience Network operational and functional, and Number and level of effective coordination mechanisms in 24 target landscapes /12 districts</i> are generally correct and represent Output level indicators. However, the proposal does not explain what “operational” or “functional” mean and how would we know if the structures established by the project are operational and functional. Additionally, this is not clear what “coordination mechanisms” the project is going to establish and how we can say if they are “effective”. Additionally, indicators for the Output 3 does not reflect integration of the EbA standards in national and state policies, programs, plans, and legislation.</p> <p>Outcome Indicator 5.1 <i>Degree of integration/ of climate change including EbA in 13 coastal states’ Coastal Zone Management Plans</i> is correct Outcome indicator and represent the follow up from the Output 3.</p> <p>Outcome Indicator 7.1 <i>Use by participating households of support on climate adaptive livelihoods and value chains, and benefit by at risk households from reduced disaster exposure</i> is correct Outcome indicator, but it is actually measured in number of people, not households. This indicator also has very ambitious target of 1,744,970 people practicing adaptation livelihood by the end of the project. It is not clear how the project will achieve this target if it is going to train and support only 348,994 people on adaptation livelihood (Output 2 Indicator). Also, it is not clear how a community exposure to climate risk will be measured.</p> <p>There is no Outcome Indicator for coastal ecosystems in the PRF that would demonstrate threat reduction for the target ecosystems, e.g., <i>Total area of target ecosystems (both protected and restored) is stable or increasing</i> (no ecosystem loss after the project is over).</p> <p>Impact Indicator <i>Total number of direct and indirect beneficiaries (% of whom is female)</i> repeats same targets as Outcome Indicator 7.1 for direct beneficiaries and seems does not include beneficiaries of trainings organized under Output 3. Additionally, it is not explained how number of actual indirect beneficiaries will be calculated at the mid-term and end of the project.</p> <p>Impact Indicator <i>Expected tonnes of carbon dioxide equivalent (t CO2 eq) to be reduced or avoided</i> is correct, but seems to include carbon gains only from restored ecosystems but not from all ecosystems put under sustainbale co-management by the project.</p> <p>Impact Indicator 1.2 <i>Number of males and females benefiting from the adoption of diversified, climate adaptive livelihood options (including fisheries, agriculture, tourism, etc.)</i> again repeats Impact Indicator for direct beneficiaries and Outcome Indicator 7.1.</p> <p>Impact Indicator 4.1 <i>Coverage/scale of ecosystems protected and strengthened in response to climate variability and change</i> repeats Output 1 indicator and does not include ecosystems protected by the project through sustainbale co-management and other means.</p>
Averaged Score:	S(4)	

6.2. Relevance, Effectiveness, and Efficiency

Relevance

Overall Rating: Highly Satisfactory (HS). The project is highly relevant to India’s national priorities in coastal ecosystem conservation and adaptation to climate change, and is fully consistent with GCF and UNDP priorities. Three project strategies (coastal ecosystem conservation and restoration; community adaptation livelihood; and EbA and climate adaptation governance and policy) are fully relevant to address climate and non-climate threats to India’s coastal ecosystems and vulnerable communities. Additionally, it would be very strategic to complement the project approaches with a strategy to increase monetary value of coastal ecosystems for local communities through incentive mechanisms such as Blue Carbon linked to interventions in the project landscapes. Potentially the new incentive system can be initiated through Blue Carbon projects by UNDP or GoI (see details in the Table 4).

Table 4. Review of the Project Relevance

Evaluation criteria	Evaluation Rating (Score)	Justification
Relevance of the project to country priorities in coastal ecosystem protection, climate change adaptation and mitigation	HS (5)	<p>India’s environmental policy is grounded in the Constitution, which states that “the State shall endeavor to protect and improve the environment and safeguard the forests and wildlife of the country”. Several policies, plans, programmes and strategies at both the national- and state-levels specifically address climate change in India, through both mitigation and adaptation.⁵⁸</p> <p>Output 1 of the project is very much relevant to the Objective 1 of the National Environmental Policy 2006 of India, which says, “<i>protect and conserve critical ecological systems and resources, and invaluable natural and man-made heritage, which are essential for life-support, livelihoods, economic growth, and a broad conception of human well-being</i>”. The Environmental Policy also indicates that there is a general obligation to protect threatened or endangered species and natural systems that are of special importance to sustaining life, providing livelihoods, or general well-being. In case these ecosystems are degraded, they should be restored, and the lost environmental services should be brought back. The National Environmental Policy, 2006 advocates development and implementation of conservation management plans involving the community (that is in line with the GCF Project Output 2)</p> <p>The ecosystems selected by the project for restoration and conservation, namely, mangroves, seagrass beds and coral reefs, are considered critical ecosystems and protected the following acts and rules:</p> <ul style="list-style-type: none"> • Environmental (Protection) Act 1986 • Forest (Conservation) Act 1980 • Wildlife Protection Act 1972 • Wetland (Conservation and Management) Rules 2017 <p>The Coastal Regulation Zone (CRZ) notification under the Environmental Act, 1986 declares certain zones as Coastal Regulation Zones (CRZ) and regulates activities in these coastal zones. The CRZ Notification declares mangroves, coral reefs and seagrass beds as CRZ 1, considers them ecologically sensitive areas and permits no activities in these areas except ecotourism. The main objectives of the Coastal Regulation Zone Notification are i) to conserve and protect coastal areas and ecologically sensitive areas, ii) to ensure livelihood security to the fishing communities and other local communities living in the coastal areas and iii) to</p>

⁵⁸ GCF Funding Proposal, p. 55

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>promote sustainable development based on scientific principles, taking into account the natural hazards in the coastal areas and sea level rise due to global warming⁵⁹. So, the project Output 1 and 2 directly contribute to these objectives.</p> <p>Many of the mangroves of India are protected as Reserve Forests under the Forest (Conservation) Act 1986, which effectively prevents the conversion of mangroves into other land uses. Some Indian mangroves are protected as wildlife sanctuaries and all coral reefs as Marine National Parks under the Wildlife (Protection) Act 1972. All hard coral species are included in Schedule-I list of the WildLife Protection Act, 1972, that prohibits collection of coral reefs as trophies or for commercial purposes.</p> <p>The Wetlands (Conservation and Management) Rules, 2017 prohibit the following within the wetlands, including mangroves: i) conversion of wetland for non-wetland uses, including encroachment of any kind; (ii) setting up of any industry and expansion of existing industries; (iii) solid waste dumping; (iv) discharge of untreated wastes and effluents from industries, cities, towns, villages and other human settlements; (vi) any construction of a permanent nature and, (vii) poaching.</p> <p>The project is highly relevant to India's national priorities in coastal conservation, management and adaptation to climate change and contributes to the India's National Action Plan on Climate Change (NAPCC) of 2008 which identifies priority interventions for addressing climate change adaptation and mitigation, to be implemented through eight National Missions. Relevant missions are the Green India Mission, which aims to restore/reforest 6 million hectares of degraded forest lands; the National Mission for Sustainable Agriculture, which will support climate adaptation in agriculture through climate-resilient crops, weather insurance and improved agricultural practices; and the National Mission on Strategic Knowledge for Climate Change. Overall implementation of the NAPCC is coordinated through the Ministry of Environment, Forest and Climate Change (MoEFCC) that is the Implementing Partner for this project.</p> <p>Four new National Missions are in the process of being established under the NAPCC including a National Coastal Mission –<i>'which will not only conserve the coastal environment but also promote development, generate revenue and provide employment'</i>. The proposal document states that this proposed National Coastal Mission, will provide the overarching policy and institutional framework for the GCF project.⁶¹ Under Output 3 the GCF project will contribute to build the Mission capacity in EbA and sustainable coastal development.</p> <p>The project has taken into account each of the target state's identified priorities in their State Action Plans on Climate Change to address climate-related threats to coastal zones (Section 3.2 of the Feasibility Study in Annex II for further details on each state's Plan). Thus, through Outputs 1-3 the GCF project will contribute to mitigation of climate related threats in the states of Andhra Pradesh, Maharashtra and Odisha.</p> <p>Under its obligations as a party to the UNFCCC, the Government of India developed a Nationally Determined Contribution (NDC) in 2015 and includes a commitment to reduce the emissions intensity of its GDP by 33–35% of 2005 levels by 2030. To contribute towards achieving this goal, the NDC aims to create an additional carbon sink of 2.5–3 billion tonnes of CO₂ through additional forest and tree cover ⁶².</p>

⁵⁹ CRZ notification 2011, <https://parivesh.nic.in/writereaddata/ENV/crz23.PDF>

⁶⁰ Feasibility Study, section 3.4 page 70

⁶¹ GCF Funding Proposal, Para 37

⁶² Feasibility Study, page 59

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>Through restoration of coastal ecosystems (Output 1) the GCF project will contribute to the NDC's goal.</p> <p>National and State Rural Livelihood Missions are a poverty alleviation projects implemented by the Ministry of Rural Development and State Governments. These plans focus on stabilizing and promoting existing livelihood portfolio of the poor through its three pillars – ‘vulnerability reduction’ and ‘livelihoods enhancement’ through deepening/enhancing and expanding existing livelihoods options and tapping new opportunities in farm and non-farm sectors; ‘employment’ – building skills for the job market outside; and ‘enterprises’ – nurturing self-employed and entrepreneurs (for micro-enterprises).⁶³ . Thus, through the Output 2 the project will directly contribute to the Missions.</p> <p>So, the project through its Outputs directly contributes to the implementation of the national and state policies, legislation, development plans, and national projects in India targeting coastal ecosystem conservation/restoration, adaptation to climate change, and sustainable community livelihood.</p>
Relevance to GCF priorities	HS(5)	<p>The GCF project in India is fully relevant to the GCF Strategic Vision (b):</p> <ul style="list-style-type: none"> • “Support developing countries in the implementation of the Paris Agreement and the United Nations Framework Convention on Climate Change (UNFCCC) within the evolving climate finance landscape.” In particular to the GCF Objective “(ii) strengthening global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty, including by: (b) Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production”⁶⁴ <p>The project contributes directly to the following GCF results areas:</p> <ul style="list-style-type: none"> • Increased resilience of livelihoods of people and communities (project Outputs 1-3); • Increased resilience of ecosystems and ecosystem services (project Output 1); • Reduced emission from forest and land use (project Output 1)⁶⁵
Relevance to UNDP priorities	HS(S)	<p>The project directly contributes to the Government of India - United Nations Sustainable Development Framework (UNSDF) for 2018-2022 in at least 3 priority areas: 5. Climate Change, Clean Energy, and Disaster Resilience; 6. Skilling, Entrepreneurship, and Job Creation; and 7. Gender Equality and Youth Development.⁶⁶</p> <p>Thus, the project directly contributes to the following Outcomes of the UNSDF:</p> <p>UNSDF outcome 1: By 2022, institutions are strengthened to progressively deliver universal access to basic services, employment, and sustainable livelihoods to the poor and excluded, in rural and urban areas (through GCF project Output 2);</p> <p>UNSDF outcome 6: By 2022, environmental and natural resource management is strengthened and communities have increased access to clean energy and are more resilient to climate change and disaster risks (through Outputs 1-3).</p>

⁶³ <https://aajeevika.gov.in/>

⁶⁴ GCF 2020. Updated Strategic Plan for the Green Climate Fund: 2020-2023, pp. 2-3

⁶⁵ GCF 2020. Updated Strategic Plan for the Green Climate Fund: 2020-2023, p.7

⁶⁶ <https://pib.gov.in/PressReleasePage.aspx?PRID=1547686>

Evaluation criteria	Evaluation Rating (Score)	Justification
Relevance of the project strategies to address climate and non-climate threats to coastal ecosystems and local communities	S(4)	<p>To address climate and non-climate threats to the coastal communities and ecosystems the project applies the following strategies:</p> <ul style="list-style-type: none"> • Restoration and protection of coastal ecosystems as “natural infrastructure” to mitigate extreme climate events and protect coastal communities. This option (adaptive response) is recommended by the IPCC Coastal Zone Management Subgroup: the Subgroup suggested that conservation of natural protection value coastal resources such as mangroves and coral reefs could be an essential option in the accommodation category of adaptation to sea level rise. It has also suggested that “soft” measures such as restoration of the mangroves and their introduction in new areas can be an alternative to “hard” options such as seawall construction in the protection category of adaptive response. The Subgroup also mentioned that the fishery resources associated with mangroves provide livelihood security to coastal fishing communities. In this context, the current project on initiating the restoration and conservation of mangroves and coral reefs is essential in increasing the adaptive capacity of coastal communities to climate change. The National Disaster Management Act 2005 also advocates conservation, restoration and creation of new mangroves as soft measures for coastal protection. • Providing local communities with opportunities to develop adaptive and sustainable livelihoods, including in the coastal ecosystems. The site-specific livelihood interventions build the adaptive capacity of local communities to climate change impacts as well as capacity to use coastal ecosystems sustainably without their destruction. Furthermore, long-term economic sustainability and replication and upscaling of the provided adaptive livelihood options will be ensured through strengthening of value chains and by creating entrepreneurial support system. • Development of national policy and institutional basis for EbA and climate change governance of coastal regions. This strategy is critical to enabling the paradigm shift to transform coastal governance in India by integrating EbA and climate adaptation approaches into coastal management and planning. <p>All these three inter-connected strategies implemented simultaneously are absolutely relevant to address climate and non-climate threats to coastal ecosystems and communities. Additionally, it would be very strategic to complement the project approaches with a strategy to increase monetary value of coastal ecosystems for local communities through incentive mechanisms such as Blue Carbon linked to interventions in the project landscapes. Potentially the new incentive system can be initiated through Blue Carbon projects initiated by UNDP, GCF or GoI.</p>
Average Score:	HS (5)	

Effectiveness

Overall Rating: *Unsatisfactory (U)*. Currently the project implementation effectiveness is insufficient and full achievement of the project Outcomes⁶⁷ as stated in the PRF is unlikely **if the project implementation does not change considerably**. Thus, **given current effectiveness (2019-2022), Outcome 1: Increasing area of coastal ecosystems (at least 14,950 ha of restored coastal ecosystems; no ecosystem loss after the end of the project) in the project landscapes contributes to the ecosystem resilience to climate change is likely to be achieved by 33% by 2025; Outcome 2: 1,744,970 local people (50% female) in the project landscapes practice climate-smart agriculture and adaptive livelihood options and benefit from climate adaptation is likely to be achieved by 0.4% by 2025⁶⁸;**

⁶⁷ Project Outcomes are formulated by the IE team based on the updated ToC and review of the PRF

⁶⁸ Outcome 2 target of 1,744,970 people practicing adaptation livelihood is very ambitious and unlikely to be achieved even if the project effectiveness increases dramatically

Outcome 3: National and coastal state governments implement climate-resilient management of coastal areas is likely to achieve 0% of the Outcome target by 2025. The project most impressive results so far are restoration of 1,219 ha of mangroves and coastal watersheds and involving 1,704 local people in adaptation livelihood, however, these results are much lower the targets that were planned by the Mid-Term. At the same time the project has a number of serious shortcomings, such as incomplete and ineffective management structure, lack of vulnerability assessment (Activity 1.1) to guide ecosystem restoration and adaptation livelihood development, lack of restoration activities for coastal ecosystems (except mangroves), lack of any project activities in Andhra Pradesh, insufficient involvement of local communities in ecosystem restoration and management, lack of adaptation and business planning for established livelihood units, and zero progress on EbA policy, legislation, and planning activities under Output 3. See Table 5 for details.

Table 5. Review of the Project Effectiveness

Evaluation criteria	Evaluation Rating (Score)	Justification
<p>Probability that the project strategies will achieve the project Outcomes during the project lifetime</p>	<p>U (1)</p>	<p>Using revised project ToC, the IE team tried to evaluate probability of achievement of the following project Outcomes⁶⁹:</p> <p>Outcome 1: Increasing area of coastal ecosystems (at least 14,950 ha of restored coastal ecosystems; no ecosystem loss after the end of the project) in the project landscapes contributes to the ecosystem resilience to climate change;</p> <p>Outcome 2. 1,744,970 local people (60% female) in the project landscapes practice climate-smart agriculture and adaptive livelihood options and benefit from climate adaptation ⁷⁰;</p> <p>Outcome 3. National and coastal state governments implement climate-resilient management of coastal areas</p> <ul style="list-style-type: none"> • All 13 coastal state CZM Plans are climate-smart and integrate EbA: score at least 75% in all 4 categories (1. Climate impacts, 2. Adaptation measures, 3. Use of EbA, and 4. use of community centred approach) ⁷¹; • All 13 coastal states have annual budget for EbA <p>For the Outcome 1, given that 1,219 ha of coastal ecosystems (mangroves – 719 ha and watersheds – 500 ha) were restored and protected by the project in 2021-2022 (by August 22), the project can achieve the following by the end of the project in 2025:</p> <p>1,219 ha (2021-2022) + 1,219 ha * 3 years = 4,876 ha (33% of planned 14,950 ha by the end of the project). Thus, the Outcome 1 is unlikely to be achieved by the end of the project (2025), if the implementation effectiveness does not change. Average annual restoration and protection</p>

⁶⁹ The Outcomes are introduced by the IE based on the updated ToC for the Project (Annex 2. Updated ToC for the GCF project)

⁷⁰ GCF Outcome Indicator 7.1: Use by participating households of support on climate adaptive livelihoods and value chains, and benefit by at risk households from reduced disaster exposure. This Indicator is the same as GCF Impact Indicator 1.2: Number of males and females benefiting from the adoption of diversified, Climate adaptive livelihood options (including fisheries, agriculture, tourism, etc.). Also, this indicator is repeated again as the GCF Core Indicator (Impact): Total number of direct and indirect beneficiaries (% of whom is female). This number indicates total direct project beneficiaries.

⁷¹ GCF Outcome Indicator 5.1: Degree of integration of climate change including EbA in 13 coastal states' Coastal Zone Management Plans

Evaluation criteria	Evaluation Rating (Score)	Justification
		<p>rate for coastal ecosystems is currently 1,219 ha/year under the project (2021-2022).</p> <p>Similarly for the Outcome 2 the projection is the following: In 2021 and 2022 in Maharashtra target landscapes the project introduced SRI, 39 Units of Ornamental Fish Farming, 24 Units of Mussel Farming, 27 Sea bass cage culture Units; 7 Pearl Spot fish nursery units, 4 units of Oyster Farming and currently 1,704 local people practice these adaptive livelihood options as a result of the project. Thus, if the effectiveness remains the same by the end of the project (2025) the total number of people expected to practice adaptive livelihood will be the following:</p> <p>1,704 (2021-2022) + 1,704 people * 3 years = 6,816 people (0.4% of planned 1,744,970 local people by the end of the project). Even if the project effectiveness increases, the Outcome 2 is unlikely to be achieved by the end of the project (2025) if the target is not adjusted and implementation effectiveness does not change.</p> <p>For Outcome 3 the project has not established any policy, legislation, planning and capacity base for climate resilience management of the coastal areas by the national and state governments. So, by the Mid-Term none of the coastal states has EbA inclusive and climate-smart CZM Plans and budget for EbA. Thus, the Outcome 3 is unlikely to be achieved as planned by the end of the project (2025), given no any adaptation policy, legislation, planning and capacity building activities started yet under the Output 3. However, if the project increases the effectiveness dramatically, the Outcome 3 still can be achieved</p>
Number and character of the most impressive project results	MU (2)	<p>Currently the project has low results that can be summarized as the following (all of them are dramatically below planned by the Mid-Term):</p> <ul style="list-style-type: none"> • 719 ha of mangroves and 500 ha of coastal watersheds are under restoration through different techniques in Maharashtra and Odisha project landscapes. Out of that number 642 ha of mangroves have been put under restoration process in Bhitarkanika project landscape, Odisha. The project team applied a number of different restoration techniques in Bhitarkanika, including mangrove plantations in abandoned shrimp farming ponds, restoration through tidal inundation, development of meadows for restoration of mangroves and associate species, construction of fishbone channels, and deepening of natural creeks. Almost all mangrove restoration sites in Bhitarkanika are fenced to prevent access of livestock to the restoration sites and at the same time to keep mangroves wildlife out of local community fields and living areas. Additionally, Bhitarkanika team established a mangrove meta-nursery for local mangrove and associate plant species that can be used as a source of plants for other restoration sites in Odisha and other coastal states. Bhitarkanika landscape currently can be used as a training and demonstration site on mangrove restoration for other states, moreover, survival rate of mangroves on the plantation there is almost 100%; • 1,704 local people in Maharashtra project landscapes started to practice adaptive livelihood under the project support, including SRI, 39 Units

Evaluation criteria	Evaluation Rating (Score)	Justification
		of Ornamental Fish Farming, 24 Units of Mussel Farming, 27 Sea bass cage culture Units; 7 Pearl Spot fish nursery units, 4 units of Oyster Farming.
Number and character of the significant project shortcomings	U (1)	<p>The project has a few significant shortcomings that can be summarized as the following:</p> <ul style="list-style-type: none"> • The project management arrangements are not finalized by the Mid-Term: the National PMU will be fully formed only by September 2022; State PMUs in Odisha and Maharashtra are still incomplete; State PMU in Andhra Pradesh is planned to be established only in September 2022. So, the project management arrangements have been only partially functional by the Mid-Term and this is the key reason for low delivery of all project Activities and Outputs; • Ecological and Social Vulnerability Assessment to Climate Change (Activity 1.1) has not been completed by the Mid-Term. This activity was planned as a baseline for selection of priority restoration sites (Activity 1.2) and most vulnerable communities for adaptation (Activities 2.1 and 2.2) in the project landscapes. Given the lack of vulnerability assessment guidance, Maharashtra and Odisha PMUs currently practice “no regret” approach restoring mangroves and establishing adaptation livelihood units based on their judgement and guidance of relevant state authorities; • No restoration activities have been started for seagrass, coral reefs, and salt marshes yet; • Some Mangroves Co-Management Committees (MCMCs) established by the project in Maharashtra landscapes are actually not involved in the mangroves restoration and co-management. Mainly these MCMCs serve to promote adaptation livelihood options in the landscapes. Moreover, for mangrove restoration the project team brings people from villages located outside of the project landscapes, but not locals leaving near restoration sites and having MCMCs. This situation negatively impact local ownership and sustainability of the restoration sites. • No adaptation livelihood activities have been started yet in the project landscapes in Odisha; • No project activities commenced in the project landscapes of Andhra Pradesh; • Adaptation livelihood activities in Maharashtra are not accompanied with market survey and simple business planning for established units to ensure their sustainability and adaptability to climate factors and potential changes in markets; • No EbA policy, legislation and planning activities has been started yet under Output 3. Given long time required for policy, legislation and planning framework official approval by the government, the Output 3 is currently under highest risk of undelivery by the end of the project (2025).
Average Score:	U (1)	

Efficiency

Overall Rating: *Unsatisfactory (U)*. The project Output delivery is only 3.4% of planned by the Mid-Term, with Output 1 delivered by 6.4%, Output 2 – 2.4%, and Output 3 – 1.5% of the Mid-Term targets (see Table 7 for details). So, all project Outputs, are currently not on the target to be achieved. Similarly, project expenditures in 2019-2021 take only 5.4% of the amount that was planned in the project proposal for the same period. The expenses to deliver the project Outputs by the Mid-Term are significantly lower than the amount that was planned in the project proposal: 3.4% - for Output 1, 2.3% - for Output 2, and 18% - for Output 3 (see details in the Project Management and Implementation section). The project efficiency is impeded by incomplete project management and coordination structure. See Table 6 for details.

Table 6. Review of the Project Efficiency

Evaluation criteria	Evaluation Rating (Score)	Justification
Timeliness and quantity in delivery of planned Outputs	U (1)	Currently the project Output delivery is only 3.4% of planned by the Mid-Term, with Output 1 delivered by 6.4%, Output 2 – 2.4%, and Output 3 – 1.5% of planned by the Mid-Term (see Table 7 for details). So, all three Outputs are currently rated as “ <i>Not on Target to be Achieved</i> ”. Project expenditures in 2019-2021 take only 5.4% of the amount that was planned in the project proposal for the same period. The expenses to deliver the project Outputs by the Mid-Term are significantly lower than the amount that was planned in the project proposal: 3.4% - for Output 1, 2.3% - for Output 2, and 18% - for Output 3 (see details in the Project Management and Implementation section).
Activity costs in comparison with other similar projects	N/A	This criterion was not assessed due to limited time available for the IE.
Capacity of National and State PMUs and key partners to implement the project	U (1)	<p>By the Mid-Term the project does not have fully formed National and State PMUs. The National PMU was formed only in 2022 and still (by August 2022) does not have a M&E Officer. Maharashtra State PMU currently does not have a State Project Manager; Communications, Monitoring & Evaluation Associate; and one District Coordination Officer. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all. Lack of developed project management structures at state and national levels does not allow effective project implementation. There is currently no well-established coordination mechanism between National and State PMUs for the project planning, implementation, reporting and M&E. Thus, overall project management capacity is currently low due to uncompleted management arrangements and needs to be improved significantly.</p> <p>However, existing staff in the State and National PMUs are very professional with relevant education and previous experience in similar projects.</p>
Average score:	U (1)	

6.3. Progress towards Results

Overall Rating: *Unsatisfactory (U)*. Delivery of the project Activities by the Mid-Term is very low (3.4% of planned by the Mid-Term in average) and varies from 0% (Activities 1.1, 3.1-3.2) to 13% (Activity 1.2). Activities 2.1 and 2.2 have delivery rate 0.6% and 4.2% of planned by the Mid-Term respectively. See details the Table 7.

Table 7. Delivery of the Project Activities and Outputs by August 2022

Outputs/Activities	Progress in delivery of key sub-activities and Outputs	% of Delivered vs Planned by the Mid-Term
Output 1. Enhanced resilience of coastal and marine ecosystems and their services	Given the progress in delivery of Activities 1.1-1.2 reviewed below, overall progress in delivery of this Output is estimated in 6.4% of planned by the Mid-Term.	6.4%
Activity 1.1: Conducting vulnerability assessment of the coast to inform planning of ecosystem and community based adaptation interventions	Under this Activity in 2019-2022 (by July) the project planned to produce the following deliverables: (1) Vulnerability assessment of Indian coast communities; (2) Decision-Support Tool for adaptation planning at state and national levels; (3) Online platform and associated app to facilitate access to information in the Decision-Support Tool; and (4) National series of restoration guidelines based on the information used for the Decision Support Tool. None of the deliverables was produced by the mid-term. Overall delivery of this Activity is 0% of planned by the Mid-Term.	0%
Activity 1.2: Community-based conservation and restoration of coastal ecosystems for increasing ecosystem resilience	Under this Activity in 2019-2022 (by July) the project established 0 Landscape level Co-management structures; developed 0 Target Landscape Integrated Management Plans and 0 site-specific ecosystems restoration protocols; restored 719 ha of mangroves (23% of planned 3,100 ha by the Mid-Term), 0 ha of saltmarshes, 0 ha seagrass beds, 0 ha coral reefs, and 500 ha coastal watersheds (50% of planned 1,000 ha by the Mid-Term); developed 0 Landscape Restoration and Management Plans; developed 0 detailed ecosystem- and site-specific protocols and guidelines for ecosystem restoration and management; and established Mangrove Co-Management Committees in 10 target landscapes (42% of planned 24 community co-management structures in the project landscapes)	13%
Output 2. Climate adaptive Livelihoods for enhanced resilience of vulnerable coastal communities	Given the progress in delivery of Activities 2.1-2.2 reviewed below, overall progress in delivery of this Output is estimated in 2.4% of planned by the Mid-Term.	2.4%
Activity 2.1: Building climate resilient livelihoods and enterprises through value chains and strengthened access to markets	Under this Activity in 2019-2022 (by July) the project: (1) developed 0 Adaptive Livelihood Plans for landscapes (out of 24 planned by the Mid-Term); (2) introduced 6 adaptive livelihood options (Ornamental Fish Farming (GCF), Oyster Farming (GCF), Sea Bass Cage culture (Co - Finance), Green Mussel Farming (Co - Finance), Oyster Farming (Co-finance), SRI (Co-Finance) that supported 1,704 local people (1.7% out of 100,000 people planned by the Mid-Term). Out of 1,704 people 504 were women and 10 women were from women headed households; (3) the project trained 0 extension officers and community mobilizers in 24 target landscapes to promote adaptation livelihood options among local communities; (4) provided 0 trainings to community groups on climate adaptive value chains. Overall delivery of this Activity is 0.6% of planned by the Mid-Term.	0.6%
Activity 2.2: Improving capacities of local communities on ecosystem-based adaptation and climate-resilient livelihoods	Under this Activity in 2019-2022 (by July) the project: (1) trained 69 people on clown fish aquaculture (Palghar, Raigad, Sindhudurg landscapes); 20 people on cyclone resilient dwarf variety coconut plantation (Bahuda landscape, Ganjam district, Odisha); 161 people on hygienic handling and value addition in fisheries (0.25% of 100,000 trained people planned by the Mid-Term); (2) developed 0 climate resilient livelihood awareness strategies out of 3 planned by the Mid-Term (0%); (3) organized 3 exchange trips for local communities (75 people) on adaptation livelihood (12.5% of 24 exchange trips planned by the Mid-Term). Overall delivery of this Activity is 4.2% of planned by the Mid-Term.	4.2%
Output 3: Strengthened coastal and marine governance and institutional framework	Given the progress in delivery of Activities 3.1-3.3 reviewed below, overall progress in delivery of this Output is estimated in 1.5% of planned by the Mid-Term.	1.5%
Activity 3.1: Network of institutions for enhanced climate resilience and	Under this Activity in 2019-2022 (by July) the project planned to deliver the following: (1) Pan-Indian Coastal Resilience Network; (2) 24 Multi-stakeholder Adaptation coordination	0%

Outputs/Activities	Progress in delivery of key sub-activities and Outputs	% of Delivered vs Planned by the Mid-Term
integrated planning and governance in all coastal states	structures in target landscapes; (3) EbA integration into 13 State Coastal Zone Management Plans; (4) National Coastal Mission established and having EbA program. None of the deliverables was produced by the Mid-Term. Overall delivery of this Activity is 0% of planned by the Mid-Term.	
Activity 3.2: Integrating ecosystem-centric approaches to climate change adaptation into public and private sector policies, plans and budgets, and scaling up finance for EbA	Under this Activity in 2019-2022 (by July) the project planned to deliver the following: (1) 13 Scenario Building workshops in 13 coastal states and (2) 3 Scenario Analysis Workshops in 3 target states (3) Interdepartmental CZM platforms in 3 target coastal states equipped to use scenario planning for business as usual vs ecosystem-based adaptation in the coastal zone; (4) 4 ecosystem-based adaptation plans for four coastal Smart Cities; (5) 3 trainings for coastal town planners and engineers on the Coastal Calculator tool, using EbA; (6) at least 4 national and state policy documents integrating EbA; (7) 1 Biennial intersectoral dialogue under the National Coastal Mission - engaging public and private sector role-players on coastal adaptation as a risk management strategy, incl. fisheries, agriculture, tourism, ports and shipping, oil and gas. None of the deliverables was produced by the Mid-Term. Overall delivery of this Activity is 0% of planned by the Mid-Term.	0%
Activity 3.3: Knowledge management for coastal resilience	Under this Activity in 2019-2022 (by July) the project planned to deliver the following: (1) One EbA KM System for National Coastal Mission; (2) Three Workshops of Pan-Indian Coastal Resilience Network; (3) 24 EbA Knowledge Products in local languages; (4) 9 Exchange visits between project states on EbA; (5) 1 South Asian EbA dialogue event. Out of these only 2 field exposure visits on EbA and climate adaptive livelihoods were done from Odisha to Maharashtra involving officials from the Forest Department and the State PMU (22% of 9 planned exchange visits). Overall delivery of this Activity is 4.4% of planned by the Mid-Term.	4.4%
Average score for project Output delivery versus planned by the Mid-Term:		3.4%

Key Barriers in Delivery of the project Activities and Outputs. Through analysis of the project documents and interviews with stakeholders, the following barriers for the project implementation have been identified:

- COVID-19 pandemic restrictions.** COVID-19 pandemic and associated government restrictions had **very significant negative impact** on the project implementation at national, state, and landscape levels. The pandemic was the key reason of the project implementation delay, so the project team lost 2 years (2020 and 2021) unable to establish the project management structure and launch the project activities at national level and in the landscapes. Almost all project activities, except a few preparatory ones, could not be implemented in 2020-2021 due to strict government travel and meeting restrictions and high level of health threat for remote coastal communities.
- Significant delay to establish and operationalize project management structure.** This is one of the key barriers for the project implementation. As we mentioned above, by August 2022 the project does not have fully formed National and State PMUs. The National PMU was formed only in 2022 and still does not have a M&E Officer. State PMUs in Maharashtra and Odisha were established in January 2021 (19 months after official start of the project). Maharashtra State PMU currently does not have a State Project Manager, Communication and Monitoring Officer and a District Coordination officer. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all. National PSC had only two meetings in 2019-2022 (last meeting was held in September 2022) and has not played significant coordination role in the project yet. Lack of developed project management structure does not allow effective project implementation. Until the project management structure is in place the project is not able to do effective planning, implementation, reporting, and M&E at state and national levels. One of the reasons of the delay to establish project management structure is

explained by the lack of GCF project implementation experience at MoEFCC and target State governments (this is first GCF project for India). Another reason represents lack of the project ownership by the government in 2019-2021 due to some political reasons and COVID pandemic interruptions of government services. The process of forming the project management structure and implementation of project activities was negatively affected by COVID restrictions. Long process to hire PMU officers (4-5 months for each officer) via UNDP GSSU contributed to the delay with the project management structure.

- **Delay to disburse to and use of project funds by the target States.** In 2021, the newly appointed NDA proposed a change to the funding mechanism under the project. So, an amendment was made to the funding mechanism where UNDP would make direct cash advances to the three target states. This resulted in delay in the first tranche of fund transfer to the States (Odisha and Maharashtra), that were done only in October 21. Both State PMUs report 18-60 days delays to receive the project quarterly funds from UNDP after funding request is submitted to UNDP. These delays associated with incorrect quarterly submission of FACE form, bank reconciliation and utilisation certificates (including from the districts) by the State PMUs. The situation is exacerbated by the relatively long process of money transfers from State PMU to project partners (e.g., another government agency) to implement the project activities. Thus, State PMU lose 1-2 months each quarter for the project implementation and have no time to utilize the funds quarterly at least by 80% required for disbursement of the next tranche.

6.4. Project Implementation and Adaptive Management

Management Arrangements. *Unsatisfactory (U).* The project management structure is still in the process of establishment and not fully functional yet. The National PMU was formed only in June-August 2022 and currently has 6 officers; position of the M&E Officer remains vacant. Maharashtra State PMU currently does not have a State Project Manager Communications, Monitoring & Evaluation Associate; and one District Coordination Officer. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all. The project has a National PSC that held so far only two meetings: in August 2020 and September 2022. All three project States have PSCs, that are represented by the government agencies and do not include NGOs or Community Organizations. UNDP plays a role of Accredited Entity for the GCF grant, directly receives GCF payments and releases them to the MoEFCC and State Departments; also, provides direct project services to GoI. Currently procurement of PMU staff via UNDP takes 4-5 months for each officer and there are delays with quarterly funds disbursements from UNDP to the State PMUs due to imperfect quarterly financial reporting issues by the PMUs (see Table 9 for details).

Work planning. *Moderately Unsatisfactory (MU).* The official project implementation started in June 2019. However, a project Inception Workshop was organized only in November 2019. There is no detailed Work Plan for the entire project life-time with targets for Activities and Outputs. Annual Work Plans (AWPs) 2019, 2020, 2021 were not approved by the National PSC as required by UNDP and GCF (AWP 2022 was approved by National PSC in September 2022)⁷². The AWP 2019, 2020, and 2021 provides only budgets by activities, but have no implementation targets for activities and other details for their

⁷² AWP 2019-2021 were approved by MoEFCC

implementation. AWP for 2019 - 2021 have very small budgets in comparison with what was planned in the GCF project proposal (e.g., AWP 2020 total budget is only \$449,000, about 10% of what was planned for the first year in the GCF proposal). AWP 2022 has more details and provides implementation plan with budgets by quarters for sub-activities under each Activity for each State and targets for some activities, but not all. State Plans in the AWP 2022 have different formats. There is an uncertainty on some of the project activities (e.g., Decision Support Tool (Activity 1.1) and Coastal Calculator Tool (Activity 3.2) and restoration targets (e.g., for salt marshes and coral reefs) that have not been solved and clarified so far.

Finance and Co-finance. Moderately Unsatisfactory (MU). AWP 2019-2021 were very unambitious: e.g., AWP 2019 has total budget of US\$96,613, AWP 2020 – US\$449,000, and AWP 2021 – US\$350,000. Thus, the total budget amount planned in 2019-2021 (\$896,029) is only 6% of the GCF budget planned for the same years (US\$13,587,451) (Fig. 8). Partially, such low budget planning can be explained by COVID-19 pandemic restrictions, partially – by absence of the project management structure (State PMUs in Maharashtra and Odisha were established only in 2021). AWP 2022 is more adequate to the first GCF disbursement and suggests US\$4,059,363 expenditures in 2022. In 2019 the project spent 67% of GCF funds planned in the AWP; in 2020 – 52%; in 2021 – 125%. Total project expenses of GCF funds for 2019-2021 represent 82% of the amount planned for the same period in the AWP, but take only 5.4% of the planned in the GCF proposal budget for the same years. Delayed funding transfers from UNDP to the State PMUs may result in up to 30 days loss per quarter for the project implementation. The situation is exacerbated by the relatively long process of money transfers from State PMU to project partners (e.g., another government agency) to implement the project activities. Thus, State PMUs lose 1-2 months each quarter for the project implementation and have no time to utilize the funds quarterly at least by 80% required for disbursement of the next tranche. Given the project expenditures in 2019-2021, it is very unlikely the project will be fully completed on time by June 2025. To finish the project on time, the expenditure rate should be US\$ 10,670,844/year starting 2022. Actual project co-financing provided by GoI in 2019-2021 (US\$ 9,777,223) represents only 34% of the co-financing amount planned for same years in GCF proposal (see Table 9 for details).

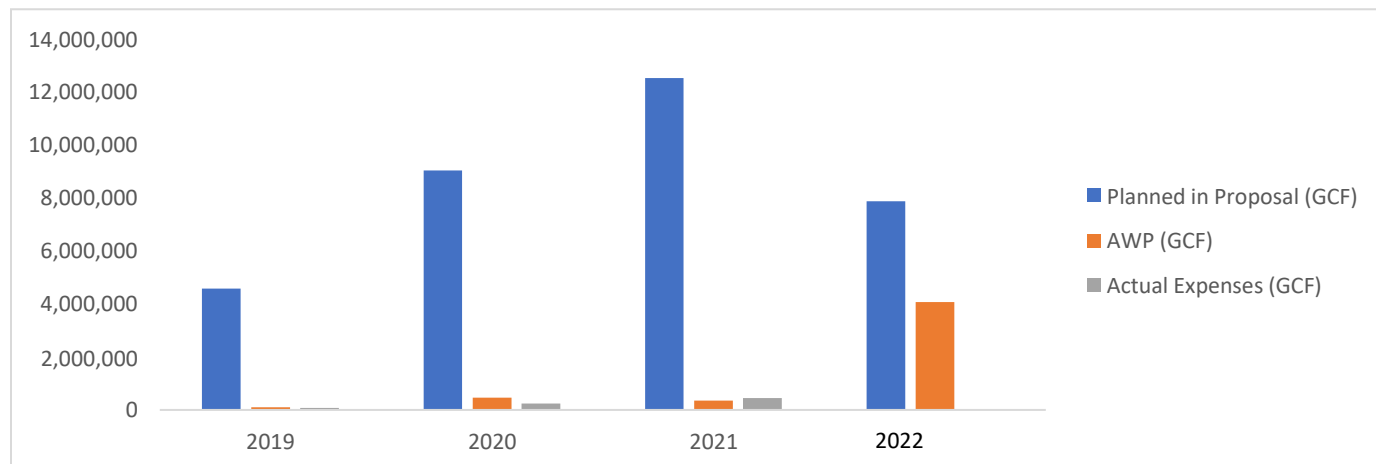


Figure 8. Planned budget and actual expenses of the GCF project funds in 2019-2021.

Coherence in climate finance delivery with other multilateral entities. Moderately Unsatisfactory (MU). Currently the GCF project does not have any developed partnerships or collaborations with other climate change adaptation projects in India. The key reason for that is incomplete project management

structure, especially of the National PMU that is the key management body for cooperation with other projects. However, Odisha State PMU cooperate with GIZ and WWF to ensure complementarity of the projects and avoid duplications in the target landscapes. The GCF project contribution to climate change adaptation in India in 2019-2022 is low, given no Mid-Term ecosystem restoration and livelihood targets were achieved. Overall, the project contribution can be summarized as the following: 719 ha of mangroves and 500 ha of coastal watersheds restored in Maharashtra and Odisha project landscapes in 2021-2022; 1,704 local people in the project landscapes in Maharashtra started practice adaptation livelihood options. In comparison, in 2011-2021 three target states – Andhra Pradesh, Maharashtra, and Odisha – together restored in average 2,280 ha of mangroves annually (State Forest Report 2021). So, the GCF project input in 2021-2022 is 30% of the total area of mangroves restored annually in the target states.

M&E System. *Moderately Unsatisfactory (MU).* The project has a brief M&E Plan with total budget of US\$ 841,000. The project Output and GCF Outcome indicators in the PRF are relevant and can be applied for the project M&E. There are no performance indicators for the project Activities that are diverse and need to be monitored on quarterly basis. There is no monitoring procedures for Outcome, Output and Activity Indicators described in the M&E Plan. No updates of the project M&E Plan have been done in 2019-2022. State PMUs do not have their own M&E Plans yet. The project brief M&E Plan and PRF are consistent with the India's GoI-UN SDF Results Framework (2018-2022) and the state climate adaptation plans of Andhra Pradesh, Maharashtra, and Odisha. The project Output and GCF Outcome indicators are updated annually in the APRs, however, the project made no progress on the indicator values in 2019-2021. In accordance with the M&E Plan the project planned to spend approximately \$115,000 in 2019-2021 for monitoring activities. However, given the project inactivity, the total M&E expenditures by the Mid-Term were no more than ~\$15,000 total. No monitoring missions have been organized yet by the National and State PMUs in the project landscapes. UNDP updates the project Risk Logs annually. The project SESP was updated in 2021. There is no quarterly update of the project SESP yet, given that no activities have been implemented in the project landscapes. No Social Inclusion Plans for project states or landscapes have been prepared yet. No ESMP has been produced for the entire project to monitor and mitigate social and environmental risks (see Table 9 for details).

Stakeholder Engagement. *Moderately Unsatisfactory (MU).* Original Project Stakeholder Engagement Plan (Annex 9 to the GCF project document) is very brief and only has information on the project partners responsible for stakeholder engagement under different project Activities. There are no stakeholder analysis and description of the stakeholder engagement strategies in the plan. So far, no updated Stakeholder Engagement Plan was produced by the project in 2019-2022. However, Odisha State PMU developed its own Community Mobilization Strategy that provide excellent guidance on community involvement in the project activities. A few project stakeholder engagement activities are reflected in APRs 2019-2021, including with local communities in the project landscapes. Maharashtra and Odisha PMUs enjoy strong support from the State governments, including from State Project Directors and State PSCs. Both governments hold meetings of the State PSCs and provide office space to the PMUs. IE team meetings with representatives of the Maharashtra and Odisha State governments demonstrated high level of awareness, interest, and involvement of the government officials in the project activities. At the national level involvement of key stakeholders is still low. So far local communities have been only initially involved in the GCF project implementation in Maharashtra and Odisha states. The total number of the direct project beneficiaries by the Mid-Term can be estimated in only ~7,350 local and non-local people (both for Output 1 and Output 2), far below the Mid-Term target of 500,000 direct beneficiaries. Project GRM structure in

the GCF proposal is unclear and not in line with UNDP guidelines for that; there is no working GRM on the ground in the project landscapes (see Table 9 for details).

Reporting. *Moderately Unsatisfactory (MU).* The project Inception Report was produced in December 2019. The Report represent copies of different section of the GCF project document discussed with stakeholder and some recommendations by the stakeholders (39 participants total). No changes and clarifications were requested by stakeholders to the project PRF, Outputs and Activities at the Inception Workshop. UNDP CO produced APRs 2019, 2020, and 2021 while National PMU was not in place. Overall, the APRs are developed using standard GCF template, but reflect very little progress on the project activities. Maharashtra and Odisha PMUs produced so far only one state annual report 2021 using standard GCF template. All APRs were submitted to GCF by March 1 without exclusions. Additionally, UNDP CO with input from State PMUs produces brief quarterly project reports (they should be produced by the National PMU as well). They are much less detailed than APRs, but still allow to monitor the project progress quarterly. Given the project low progress in 2019-2021, no partner or consultant reports were produced in the project framework by the Mid-Term. We did not find any adaptive management changes reported in APRs and Quarterly Reports in relations to the project landscapes, PRF targets, or activities. For example, suggested changes of the project landscapes in Maharashtra have never been reported in APRs. In regards of financial reporting by the State PMUs, there are a few issues such as incorrect quarterly submission of FACE form, bank reconciliation and utilization certificates (including from the districts) that slow down quarterly tranches from UNDP to the PMUs. The project briefly documents lessons learned in the APRs in the section 2.5 “Implementation challenges and lessons learned”. The lessons generated by the project are very brief and mainly managerial, but not technical. Additionally, current project lessons do not help a lot to solve the project issues because they do not provide effective solution to the problems the project faces (see Table 9 for details).

Communication. *Moderately Unsatisfactory (MU).* National PMU has a Communication and KM Officer, hired on June 1 2022, who is responsible for the project communication with stakeholders. The project does not have a Communication Strategy yet. Odisha State PMU has a Communication and M&E Officer too. The Odisha PMU has a well-developed Community Mobilization Strategy, brief guidance on the role of mass media in climate change awareness, and list of 10 key mass media and 18 journalists (newspapers, magazines, and TV) to broadcast news related to the project. Both Odisha and Maharashtra PMUs have regular meetings with local communities in the project landscapes in frameworks of the Output 1 and 2. Thus, at least 1,379 local people, including 854 women (62%) were involved in the project communication process in Odisha; and 1,635 people, including 435 women (27%) in Maharashtra landscapes. Currently the project is using limited number of channels to receive feedback from stakeholders: (a) State PSC and District PSC meetings in Odisha and Maharashtra (with feedback reflected in the meeting minutes); and (b) meetings with local communities and district administrations in the project landscapes to discuss the project activities. National level awareness and outreach on the GCF project was just started in July-August 2022 (see Table 9 for details).

Table 9. Review of the project implementation and adaptive management

Evaluation criteria	Evaluation Score	Justification
Management arrangements		U (1)
Project Management Structure	U(1)	The project management structure is still in the process of establishment and not fully functional yet. The National PMU was formed only in June-August 2022 and currently has 6

		<p>officers. The National PMU still (by August 2022) does not have a M&E Officer. Maharashtra State PMU currently does not have a State Project Manager Communications, Monitoring & Evaluation Associate; and one District Coordination Officer. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all, however, then Government of Andhra Pradesh signed the Letter of Agreement on the project implementation on the 9th September 2022.</p> <p>All staff working for National and State PMUs works full-time for the project, however, National PMU staff is used by MoEFCC for other work not directly related to the project⁷³. Majority of the National and State PMUs staff has previous experience of similar projects and relevant education. All PMU staff have ToRs for their positions.</p> <p>The project has a National PSC that held only two meetings since the project start - in August 2020 and September 2022. In accordance to the File No-CC-13008/81/2020-CC of MoEFCC the PSC has 19 members, including 13 Ministries, NCSCM, SICOM, UNDP, Confederation of Indian Industry (CII), and nodal Departments of Andhara Pradesh, Maharashtra, and Odisha. So, its structure is very close to what was suggested in the GCF proposal. The PSC is quite representative and brings a variety of mandates, expertise and experiences to the project. However, given the National PSC met only twice in 2019-2022, this body is not fully functional yet.</p> <p>State PSCs are at different stages of completion by the Mid-Term. Maharashtra PSC has 15 members represented mainly by government agencies and UNDP representative. Andhra Pradesh PSC has 10 members, all representatives of government agencies.</p> <p>Odisha PSC has 16 members that actually represent the Steering Committee of the Integrated Coastal Zone Management Society of Orissa, but not an actual State PSC for the GCF project. The Steering Committee has never been appointed to serve as a State PSC for GCF project.</p> <p>No consultive project management bodies mentioned in the GCF proposal – Technical Advisory Group and Committee on Coastal Governance – have been established yet. However, those project governance bodies are secondary and are not so critical as National and State PMUs and PSCs.</p>
Level of support of project management team from UNDP CO	MU (2)	UNDP plays a role of Accredited Entity for the GCF grant, it directly receives GCF payments and releases them to the MoEFCC and State Governments. In relation to the GCF project UNDP provides the “GCF-specific oversight and

⁷³ National PMU officers report that they spend about 10% of their work time on other assignments that do not directly relate to the GCF project management.

	<p>quality assurance services”: “(i) day to day oversight supervision; (ii) oversight of the project completion; and (iii) oversight of the project reporting”.</p> <p>In 2017 UNDP conducted the Harmonized Approach to Cash Transfer (HACT) assessment for MoEFCC; Environment, Forests, Science and Technology Department, Government of Andhra Pradesh; Department of Forest and Environment, Government of Odisha; and Maharashtra Forest Department, Government of Maharashtra. The HACT report did not raise serious issues on the MoEFCC and State Departments capacity to manage GCF project successfully.</p> <p>FA Agreement was signed by UNDP in April 2019. First GCF fund disbursement to UNDP was done in October 2019, right on time. In December 2019 UNDP assisted MoEFCC in organization of the project Inception Workshop. UNDP India is a member of the National PSC and Maharashtra PSC. Currently UNDP is not present in other State PSCs, but the requests to include UNDP in the State PSCs were submitted to the State governments in 2022.</p> <p>In accordance to the GCF project document UNDP provides direct services to GoI on the project, including staff and personnel management, finance; procurement of consultants, goods, and services; travel services; ICT and communication; and diverse technical support.</p> <p>UNDP provides sufficient office space and equipment for National PMU in New Delhi.</p> <p>Starting 2021 UNDP India distributes the GCF project funds directly to MoEFCC and three project States. So far, UNDP made only two disbursement in 2021 and 2022. Odisha PMU received the first tranche on September 27 2021 (18 days after the LoA was signed). Maharashtra PMU received the first tranche on November 3 2021 (LoA was signed on October 25 2021, 8 days). Odisha PMU submitted its request for the second tranche on July 25 2022, but have not received it yet (August 18 2022). Maharashtra PMU submitted second funding request on June 9 2022 and received the funds after July 1 2022 (25-27 days after the request). So, delayed funding transfers from UNDP to the State PMUs may result in up to 30 days loss per quarter for the project implementation.</p> <p>Additionally, hiring National and State PMU staff through UNDP represents a serious issue: thus, one position takes 4-5 months to hire via UNDP Regional Hub in Bangkok. That long process contributes to incomplete project management structure and delayed project implementation. Additionally, current UNDP hiring procedures do not allow national and state government representatives to participate in selection panels for National and State PMU staff candidates.</p> <p>The Quality Assurance for the project by UNDP provides mainly exaggerated picture of the project quality that is not</p>
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		<p>supported by the project progress. Thus, Design&Appraisal Stage Quality Report for the project produced by UNDP before the project start (July 1st 2019) rated the project as <i>Highly Satisfactory</i>. This is correct rating for the GCF project package that was produced with high quality and sufficient details (see also the Section 1. Project Strategy). However, the Implementation Stage Quality Assurance Report 2019 rated the project as <i>Exemplary</i>, that was obvious exaggeration given the project delayed start and lack of the project management system in place by the end of 2019. QA Report 2021 rates the project <i>Exemplary</i> again, despite almost lack of the project progress to implement project Activities and deliver the project Outputs.</p> <p>UNDP CO tried to push the project forward in 2020 and 2021 (promote establishment of National and State PMUs, launch ecological and social vulnerability assessment of coastal areas), however, due to COVID restrictions, they could not do a lot.</p> <p>In September 2022, UNDP CO provided first orientation training session to National and State PMU staff on the UNDP/GCF management procedures, requirements, and processes.</p>
<p>Level of support of the project management from MoEFCC, State Governments, and local administrations</p>	<p>U(1)</p>	<p>The project support from MoEFCC was not high in 2019-2021, given the National PMU was just formed in 2022 and National PSC had only 2 meetings in 2019-2022 (the last meeting took place in September 2022). However, the situation changed in 2022 (with a change of leadership under relevant MoEFCC department) and currently MoEFCC is very active to fast-track the project implementation and had last National PSC meeting in September 2022.</p> <p>Similarly, Andhra Pradesh State Government was reluctant to implement the project in 2019-2021, however, now new state government is fully supportive for the project. Governments of Maharashtra and Odisha have been supportive to the project so far and provided office space for the state PMUs, appointed State Project Directors, and formed State PSCs. At the same time MoEFCC and target State Governments provided \$9,777,233 co-financing to the project in 2020 and 2021.</p> <p>IE team’s meetings with district administrations in the project landscapes in Maharashtra and Odisha demonstrated their high level of support and interest in the project activities, especially on adaptation livelihood for coastal communities.</p>
<p>Level of support of the project management from the National and State Project Steering Committees</p>	<p>U(1)</p>	<p>As we mentioned above, National PSC had only two meetings in 2019-2022 and did not provide full support to the project management team yet. Project AWP 2019-2021 and APRs 2019-2021 were not reviewed and approved by the National PSC⁷⁴. AWP 2022 was approved by National PSC in September 2022.</p>

⁷⁴ AWP 2019-2021 were approved by MoEFCC

		<p>Similarly, Andhra Pradesh PSC could not provide any help to the project implementation given the lack of the State PMU and activities in the target landscapes.</p> <p>Steering Committee for the Integrated Coastal Zone Management of Orissa plays role of the Odisha State PSC for the GCF project, however, no official appointment for that was done by the State government. Thus, the Steering Committee approved the GCF project state AWP 2021-2022, fund flow mechanism for the State PMU, and establishment of District PMUs. The IE team did not find records of approval of the State Annual Reports by the Committee.</p> <p>Maharashtra PSC was established by the Resolution of the State Government # S-10/2017/ CR.67/F-3 on July 1st 2021. The PSC had two meetings in 2021 and 2022 and approved AWP 2021 and 2022 of the State PMU. However, no approval of the State Annual Reports was done by the State PSC.</p>
Work planning		MU (2)
Actual start of the project implementation and delay issues if any (reasons for the delay)	U (1)	<p>The official project implementation started in June 2019, however, the project Inception Workshop was organized only in November 2019. Thus, in 2019 the project had almost no time to roll out initial activities after the inception. Initial State PMU in Odisha and Maharashtra were formed only in January of 2021, and National PMU will be fully formed by the end of September 2022. Andhra Pradesh did not have a State PMU by the IE period, but the Unit is planned to be established by the end of September 2022.</p> <p>Since 2019 the project has been experienced severe delays and has delivered only initial results in Maharashtra and Odisha that are significantly below the targets stated in the Annex E: Time table for the project implementation and PRF (see Progress Towards Results section for details). By the time of the IE overall delivery of the project Outputs was estimated at only 2.7% of expected by the Mid-Term. The key reasons for delays are the following:</p> <ul style="list-style-type: none"> • Delayed project start in 2019; • Significant delay to establish project management structure that is still uncompleted and not fully functional; • Travel and meeting restrictions associated with COVID-19 pandemic in 2020 and 2021 that severely impacted all project activities; • Maharashtra and Odisha received first funding disbursements only by September-November 2021.
Presence and quality of a Work Plan for the entire project lifetime	U (1)	There is a Work Plan for the entire project lifetime (in the GCF project document), however, it reflects only budgets planned by years and Activities, but not annual targets for project Activities that should be delivered. The plan is not detailed and does not allow project M&E (it is not clear Who, Where, What

		<p>will do and How much it will cost) and not downscaled at the project landscape level.</p> <p>Similarly, State PMUs do not have the entire project lifetime plan for state level activities and only have GCF budget allocations: Maharashtra – US\$11,432,598; Odisha – US\$ 16,311,692; and Andhra Pradesh – US\$ 12,127,098.</p>
Quality of the annual work/activities planning	MU (2)	<p>UNDP CO produced Annual Work Plans (AWPs) 2019, 2020, and 2021 that were not approved by the National PSC⁷⁵. AWP 2022 was approved by National PSC in September 2022. The AWP 2019, 2020, and 2021 provides only budgets by activities, but have no implementation targets for activities and other details for their implementation (e.g., there are no Responsible Party for activity deliverables, and no delivery plan by quarters in the AWP). AWP for 2019 - 2021 have very small budgets in comparison with what was planned in the GCF project proposal (e.g., AWP 2020 total budget is only \$449,000, about 10% of what was planned for the first year in the GCF proposal).</p> <p>AWP 2022 has more details and provides implementation plan with budgets by quarters for sub-activities under each Activity for each State and targets for some activities, but not all. For example, some of the sub-activities are not clear, e.g., 3.1.6. <i>Strengthen existing interdepartmental platforms in Maharashtra (such as the State Climate Change Cell and/or CZM Authorities to facilitate integration of EbA approaches into relevant policy and legislation, and to share lessons learned and best practices from target landscapes and states.</i> So, it is not clear what specifically will be done by the project to strengthen the platforms and why it costs 6,500,000 INR. This is true for majority of sub-activities in the plan. Also, it is not clear from the plan who will deliver different planned sub-activities and in what project landscapes. All these unclarities can dramatically impede implementation of the AWP by National and State PMUs. State Plans in the AWP 2022 have different formats. At the same time, the AWP 2022 is the first AWP since 2019 with adequate budget of US\$ 4,059,363 (first tranche of GCF funds was US\$ 4,565,020).</p>
Quality of the National and State PMU internal weekly/monthly planning	N/A	Not assessed due to limited time for the IE.
Project Adaptive Management	MU (2)	<p>Since the project management and implementation was very low in 2019-2022, IE team could not find many examples of the project adaptive management. For example, Maharashtra State Government requested to change two original project landscapes with another two due to their unsuitability for the project (request to MoEFCC dated on December 3 2020).</p> <p>Since 2019 the project briefly documented a few lessons learned in APRs 2019-2021. The lessons do not provide sufficient details and solutions to improve the project implementation.</p>

⁷⁵ AWP 2019-2021 were approved by MoEFCC

		<p>Additionally, through interviews with National and State PMU staff the IE team found uncertainty on some of the project activities (e.g., Decision Support Tool (Activity 1.1) and Coastal Calculator Tool (Activity 3.2) and restoration targets (e.g., for salt marshes and coral reefs) that the project team has not attempted to clarify or change so far.</p>
Finance and Co-finance		MU (2)
Quality of planning of the project annual budget	MU (2)	<p>Project AWP 2020-2022 with budgets were regularly produced by UNDP and Maharashtra and Odisha SPMUs (starting in 2021), however, AWP 2019-2021 have never been considered and approved by the National PSC⁷⁶ (AWP 2022 was approved by the National PSC in September 2022). State AWP 2019-2021 were very unambitious: e.g., AWP 2019 has total budget of US\$96,613, AWP 2020 – US\$449,000, and AWP 2021 – US\$350,000. Thus, the total budget amount planned in 2019-2021 (\$896,029) is only 6% of the GCF budget planned for the same years (US\$13,587,451). Partially, such low budget planning can be explained by COVID-19 pandemic restrictions, partially – by absence of the project management structure (State PMUs in Maharashtra and Odisha were established only in 2021). AWP 2022 is more adequate to the first GCF disbursement and suggests US\$4,059,363 expenditures in 2022. As was mentioned in the previous section AWP budgets 2019-2021 provide total amounts reserved for the project Activities without explanations and budget notes on how that budget estimates were produced. AWP 2022 provides more details on the budgets, however, no explanations and budget notes are provided to understand the budget estimates. State AWP 2022 do not provide budget information by target landscapes and explanatory budget notes.</p>
Project financial management: variance between planned and actual expenses	MU (2)	<p>In 2019 the project spent 67% of GCF funds planned in the AWP; in 2020 – 52%; in 2021 – 125%. Total project expenses of GCF funds for 2019-2021 represent 82% of the amount planned for the same period in the AWP, but take only 5.4% of the planned in the GCF proposal budget for the same years. Overall, delivery of the project budget is higher than the Output delivery rate of 2.7% of planned by the Mid-Term (see Progress Towards Results section).</p> <p>As we mentioned above, delayed funding transfers from UNDP to the State PMUs may result in up to 30 days loss per quarter for the project implementation. One of the key reasons for that are incorrect quarterly submission of FACE form, bank reconciliation and utilization certificates (including from the districts) by the State PMUs. The situation is exacerbated by the relatively long process of money transfers from State PMU to project partners (e.g., another government agency) to implement the project activities. Thus, State MPMU lose 1-2 months each quarter for the project implementation and have</p>

⁷⁶ AWP 2019-2021 were approved by MoEFCC

		no time to utilize the funds quarterly at least by 80% required for disbursement of the next tranche.
Project expenses to deliver Outputs	MU (2)	Total amount of GCF funding planned for Outputs 1, 2, and 3 in AWP's 2019-2021 is inconsistent with the project proposal: thus, total amount of funds planned for Output 1 in the AWP's represents 2.8% of the budget planned for the Output in the project proposal for 2019-2021. For Output 2 this figure is 6.8%; for Output 3 – 23.3%. Actual expenses to deliver the Outputs in 2019-2021 are very low accordingly in comparison with planned by the GCF proposal budgets for the same: 3.4% - for Output 1, 2.3% - for Output 2, and 18% - for Output 3.
Annual project audit reports	U(1)	No audits of the project were conducted in 2019-2022.
Changes made in the project budget as a part of Adaptive Management	MU (2)	Given the absence of functional project management structure, the project expenditures were very low in 2019-2021 (only 5.4% of the planned in the GCF proposal budget for the same years). The project total budget in 2022 is planned for US\$ 4,059,363 (the remains of the GCF first disbursement), but not higher to compensate for low expenditures in 2019-2021. So, the IE team could not see any adaptive management decisions to increase the project expenditures. Given the project expenditures in 2019-2021, it is very unlikely the project will be fully completed on time by June 2025. To finish the project on time, the expenditure rate should be US\$ 10,670,844/year starting 2022. That does not look realistic.
Difference between planned and actual co-financing commitments	MU (2)	Actual project co-financing provided by GoI in 2019-2021 (US\$ 9,777,223) represents only 34% of the co-financing amount planned for same years in GCF proposal.
Coherence in climate finance delivery with other multilateral entities		MU(2)
Level of project partnership and cooperation with other climate change adaptation projects and programs in India	MU(2)	Currently the GCF project does not have any developed partnerships or collaborations with other climate change adaptation projects in India. The key reason for that is incomplete project management structure, especially of the National PMU that is the key management body for cooperation with other projects. However, Odisha State PMU cooperate with GIZ and WWF to ensure complementarity of the projects and avoid duplications in the target landscapes
Overall project impact and contribution to climate change adaptation in India	MU(2)	The GCF project contribution to climate change adaptation in India in 2019-2022 is low, given no Mid-Term ecosystem restoration and livelihood targets were achieved. Overall, the project contribution can be summarized as the following:

		<ul style="list-style-type: none"> 719 ha of mangroves and 500 ha of coastal watersheds restored in Maharashtra and Odisha project landscapes in 2021-2022; 1,704 local people in the project landscapes in Maharashtra started practice adaptation livelihood options. <p>In comparison, in 2011-2021 three target states – Andhra Pradesh, Maharashtra, and Odisha – together restored in average 2,280 ha of mangroves annually (State Forest Report 2021). So, the GCF project input in 2021-2022 is 30% of the total area of mangroves restored annually in the target states.</p>
M&E System		MU (2)
Quality of the project M&E plan and its relevance to the Outcomes, Outputs, and Activities	MS (3)	<p>The project has a brief M&E Plan in the section VI. Monitoring and Evaluation Plan. Total budget of the M&E Plan is US\$ 841,000; no co-financing is provided for the M&E. Additionally, Annex E: Timetable for the project implementation has some M&E activities, like Inception Workshop, APRs, IE, etc. The project Output and GCF Outcome indicators in the PRF are relevant and can be applied for the project M&E. There are no performance indicators for the project Activities that are diverse and need to be monitored on quarterly basis. There is no monitoring procedures for Outcome, Output and Activity Indicators described in the M&E Plan.</p> <p>No updates of the project M&E Plan have been done in 2019-2022. State PMUs do not have their own M&E Plans yet.</p>
Consistency of the project M&E system with national SDGs, NDC and other national reporting systems	S (4)	<p>The project brief M&E Plan and PRF are consistent with the India’s GoI-UN SDF Results Framework (2018-2022):</p> <ul style="list-style-type: none"> The project’s GCF Impact-Level Indicator <i>Expected tonnes of carbon dioxide equivalent (t CO2 eq) to be reduced or avoided</i> contributes to the SDF RF Indicator 5.1 <i>Annual reduction in tons of CO2 (tCO2/year) in line with the Nationally Determined Contribution (NDC) and commitments under the UNFCCC</i>; Output 1 Indicator <i>Numbers of hectares of coastal ecosystems–disaggregated by type – that are successfully restored to reduce the impact of climate-induced disasters and other climate change impacts</i> contributes to the SDF RF Indicator 5.4 <i>Terrestrial, coastal and marine areas protected, restored or managed through integrated programmes for ecosystem resilience and community based climate adaptation</i>; <p>Additionally, coastal ecosystem restoration targets are present in the state climate adaptation plans of Andhra Pradesh, Maharashtra, and Odisha.</p>
Frequency and quality of update of the project indicator values and data credibility	S (4)	<p>The project Output and GCF Outcome indicators are updated annually in the APRs, however, the project made no progress on the indicator values in 2019-2021. Additionally, the project</p>

		briefly reports update on the Activities in the Quarterly Reports. Odisha and Maharashtra PMU provide quarterly reports with progress by the project Activities, including area of ecosystems restored and number adaptation livelihood units established and number of people trained on adaptation livelihood.
Difference between planned and actual expenses for the project M&E	U(1)	In accordance with the M&E Plan the project planned to spend approximately \$115,000 in 2019-2021 for monitoring activities. However, given the project inactivity, the total M&E expenditures by the Mid-Term were no more than ~\$15,000 total (Inception Workshop, two National PSC meetings, 3 State PSC meetings). No monitoring missions have been organized yet by the National and State PMUs.
Use of M&E framework for the project adaptive management	U(1)	The IE team did not find any use of the M&E project framework for the adaptive management as AWP's 2019-2021 have no annual targets for Outputs and Activities. AWP 2022 is the first project plan that includes annual targets for some of the project activities. The project obviously needs to adjust some targets for ecosystem restoration (e.g., coral reefs and salt marshes have very ambitious restoration targets) and number of people practicing adaptation livelihood as the project result (Indicator 7.1), that is currently very high – 1,744,970. But no changes on the targets have been requested by the project team before the IE mission.
Stakeholder participation in the project M&E, including women	MU (2)	The only M&E Plan's events the project organized so far were the Inception Workshop in 2019 (39 stakeholders participated in the Inception Workshop, including 19 females (49%)), National PSC meetings in 2020 and 2022 (31 participant, including at least 10 females (32%)), two State PSC meetings in Maharashtra (15 participants), and one State PSC meeting in Odisha (16 participants). No other monitoring missions and activities were implemented in 2019-2022 due to lack of the project implementation in the target landscapes. In the current IE mission, 105 stakeholders (50% of women) were involved in the process at national and project district level.
Quality of monitoring and management of the project risks and Environmental and Social Safeguards risks	MU (2)	UNDP updates the project Risk Logs annually. The project SESP was updated in 2021 (a Safeguards consultant was hired for that. The SESP has modified the "significance" of the potential risk on restriction of communities to resources to "Moderate" level, to ensure all implementation is carried out with the consent of communities (vulnerable groups, women). There is no change to the overall risk categorization of this project. There is no quarterly update of the project SESP yet, given that no activities have been implemented in the project landscapes. Maharashtra and Odisha State PMUs provide update on the project risks, including some of the SESP risk, in quarterly reports. In Maharashtra, full and prior agreement from communities in target landscapes has been taken where project interventions have been proposed to be set up. Through the Gram Panchayat resolution, communities have awareness of the project and have confirmed no objection to the project

		<p>related activities. Also, a Social Inclusion Planning Framework (IPP) has also been prepared and is part of the project's ESMF.</p> <p>No Social Inclusion Plans for project states or landscapes have been prepared yet. No ESMP has been produced for the project to monitor and mitigate social and environmental risks.</p> <p>Since July 2022 the National PMU has an Environmental and Social Safeguards Officer, who will work with the State PMUs to ensure regular monitoring of SESP risks.</p>
Stakeholder Engagement		MU (2)
Quality of the project stakeholder engagement strategies and activities	MS (3)	<p>Original Project Stakeholder Engagement Plan (Annex 9 to the GCF project document) is very brief and only has information on the project partners responsible for stakeholder engagement under different project Activities. There are no stakeholder analysis and description of the stakeholder engagement strategies in the plan. So far, no updated Stakeholder Engagement Plan was produced by the project in 2019-2022.</p> <p>Odisha State PMU developed its own Community Mobilization Strategy that provide excellent guidance on community involvement in the project activities.</p> <p>A few project stakeholder engagement activities are reflected in APRs 2019-2020:</p> <ul style="list-style-type: none"> • Inception Workshop in 2019 (39 stakeholders); • First meeting of National Project Steering Committee in 2020 (31 stakeholder); • Two meetings chaired by the NPD to review the status of implementation of the project in 2021; • Engaging with Stakeholders and Communities in Maharashtra for site selection and consultations in 2021 and 2022: 294 villages were visited; • 21 consultation meetings were organized by the project team at district level in Odisha with the line department officials for livelihood planning and prioritization in 2022; • 43 village level meetings in Odisha in 19 project villages of 4 project districts involving 1,379 local people, including 854 women (62%) in 2022.
Level of local, state and national government participation in the project implementation	MS (3)	<p>In 2019-2021 the MoEFCC, the Implementing Partner, has not been active to establish effective project management structure and fast-track the project implementation. Despite National PSC is rather representative and includes 13 Ministries, NCSCM, SICOM, and nodal Departments of Andhara Pradesh, Maharashtra, and Odisha, it had only two meeting in 2019-2022 (last meeting took place in September 2022). The situation changed in 2021 with a new leadership at the relevant department of MoEFCC.</p> <p>State governments have different level of involvement in the project so far. In Andhra Pradesh, similar to MoEFCC, the</p>

		<p>government support to the project was low in 2019-2021, but in 2022 with a change in the state government it became more favorable for the project: the process of the State PMU establishment moved forward and should be completed in September 2022.</p> <p>Maharashtra and Odisha PMUs enjoy strong support from the State governments, including from State Project Directors and State PSCs. Both governments hold meetings of the State PSCs and provide office space to the PMUs. IE team meetings with representatives of the Maharashtra and Odisha State governments demonstrated high level of awareness, interest, and involvement of the government officials in the project activities.</p> <p>Both Maharashtra and Odisha established District Level Coordination Committees (DLCC) for the GCF project that take part in the community mobilization and project activities (ecosystem restoration and adaptation livelihood) in the project landscapes. IE team could meet representatives of the district governments in both states and confirm their awareness and involvement in the project activities⁷⁷.</p>
<p>Level of participation of local communities and other groups in the project implementation (total number of stakeholders directly involved in the project and direct project beneficiaries)</p>	<p>U (1)</p>	<p>So far local communities have been only initially involved in the GCF project implementation in Maharashtra and Odisha states. As we mentioned above the project teams involved local communities in Maharashtra for site selection and consultations in 2021 (294 villages were visited; and organized 43 village level meetings in Odisha in 19 project villages of 4 project districts involving 1,379 local people, including 854 women (62%) in 2022.</p> <p>Under Output 1 the project involved local communities in mangrove restoration activities and paid them cash for work (however, in Maharashtra in some cases non-local people were involved in the restoration activities). Overall, total number of local people involved in the restoration activities can be estimated in ~ 5,000 in Odisha; 715 people were involved in restoration process in Maharashtra (77 local and 638 non-local).</p> <p>Under Output 2 the project established adaptation livelihood units, trained local people on clown fish aquaculture, and involved them in exchange experience trips in Maharashtra landscapes. So, total number of the project direct beneficiaries under Output 2 can be estimated in 1,635 local people.</p> <p>So, the total number of the direct project beneficiaries by the Mid-Term can be estimated in only ~7,350 local people, far below the Mid-Term target of 500,000 direct beneficiaries.</p>

⁷⁷ For example, in Bhubaneswar, Odisha, IE team had a meeting with the District Collector, IAS of Kendrapara, who chairs the District Level Coordination Committee

Presence and effectiveness of the project Grievance Redress Mechanism	U (1)	<p>GCF project proposal mentions that “the project makes provision for a complaint’s register along with a two-tiered Grievance Redress Mechanism (GRM) consistent with the UNDP’s Stakeholder Response Mechanism”. GRM is described in the project Environmental and Social Management Framework (ESMF). GRM structure is unclear and not in line with UNDP guidelines for that. For example, ESMF suggests establishment of the Grievance Redress Committee, but does not indicate at what project governance body this Committee should be established and what is the structure of the Committee. Also, ESMF says that the GRM should be managed by the Safeguards Officer at the PMU and that is in the contradiction to UNDP guidance on project GRMs. Thus, UNDP recommends to establish GRM at the PSC, not at PMU. It is not clear how the Safeguard Officer relates to the Grievance Redress Committee. Later ESMF mentions a Safeguard Manager at PMU who “coordinates the activities at the respective State to address the grievances and would act as the focal point in this regard”. No project GRM was put in place in 2019-2022.</p> <p>Odisha State PMU claims to have a very simple GRM that consists of two PMU officers – Public Information Officer (Communication and M&E Officer) and First Appellate Authority (State Project Manager). Once again, this GRM is connected to the PMU, but not to the State PSC as recommended by UNDP and its mechanism remains unclear (e.g., channels for grievances from the project landscapes to the State PMU remains unclear as well as procedure of grievance resolution).</p>
Reporting		MU (2)
Presence and quality of the project Inception Report	MS (3)	<p>The project Inception Report was produced in December 2019. The Report represent copies of different section of the GCF project document discussed with stakeholder and some recommendations by the stakeholders (39 participants total). Key project partners at the workshop included the National Designated Authority (Ministry of Environment Forest and Climate Change), Additional Principal Chief Conservator of Forests (Maharashtra), Principal Chief Conservator of Forests (Andhra Pradesh) and Project Director, Integrated Coastal Zone Management Project (Odisha).</p> <p>The report has just a few stakeholders’ recommendations:</p> <ul style="list-style-type: none"> • Setting up the PMU at Central and State level at the earliest. At the State level, the process is already underway for recruitment of Project Manager and Project Associate positions; • Completion of Baseline survey report by mid December 2019; • Finalizing Annual Work Plan for 2020 by December 2019; • Submission of Annual Performance Report for the year 2019 by 1st of March 2020.

		No changes and clarifications were requested by stakeholders to the project PRF, Outputs and Activities at the Inception Workshop.
Presence and quality of the project quarterly and annual reports	MS (3)	<p>UNDP CO produced APRs 2019, 2020, and 2021 while National PMU was not in place. Overall, the APRs are developed using standard GCF template, but reflect very little progress on the project activities. Maharashtra and Odisha PMUs produced so far only one state annual report 2021 using standard GCF template. All APRs were submitted to GCF by March 1 without exclusions.</p> <p>Additionally, UNDP CO produces brief quarterly project reports (they should be produced by the National PMU as well). Quarterly Reports are provided in a table format with brief update on progress against each Activity and quarterly expenditures. They are much less detailed than APRs, but still allow to monitor the project progress quarterly. Maharashtra and Odisha PMU provide quarterly reports to UNDP CO. State quarterly reports contain updates on the project risks, including SESP.</p>
Quality of personal reporting of PMU staff, Back to the Office/Mission Reports	N/A	Was not assessed, as IE team did not find any personal reports of State and National PMU staff.
Project Partners Reports	U (1)	Given the project low progress in 2019-2021, no partner or consultant reports were produced in the project framework by the Mid-Term.
Quality of reporting of project adaptive management changes	U (1)	We did not find any adaptive management changes reported in APRs and Quarterly Reports in relations to the project landscapes, PRF targets, or activities. For example, suggested changes of the project landscapes in Maharashtra have never been reported in APRs ⁷⁸ .
Validation and approval of project annual reports by the Project Steering Committee	U (1)	None of the APRs, including from State PMUs, was approved by National and State PSCs in 2019-2021.
Quality of documentation of lessons learned during the project implementation	MS (3)	<p>The project briefly documents lessons learned in the APRs in the section 2.5 “Implementation challenges and lessons learned”. So far the following lessons were documented by the project:</p> <ul style="list-style-type: none"> • Frequent meetings with the Government both at the centre and state level are crucial in taking forth the activities of the project and overcome the project implementation delays. Hiring of Senior Technical Advisor, who will be the primary contact point between the Ministry and UNDP, should help to move the project forward;

⁷⁸ In December 2020 the Mangrove Cell of Maharashtra submitted the request to MoEFCC to remove two project landscapes – Uran and Panvel (the State Government decided the landscapes are unsuitable for the project due to extensive urbanization and proposed airport construction), and add Alibaug and Shrivardhan instead. This request was not reported in the APRs, however, it was approved by the National PSC in September 2022.

		<ul style="list-style-type: none"> • The pandemic caused major delays in the field-level implementations, and the AE has received feedback from the Government to not rush the implementation process; • Absence of the National PMU has delayed some of the project coordination efforts, which will possibly be resolved from the next APR reporting; • Usefulness of online mode of working and preparation of a contingency plan for the next year in case the rise of COVID cases continues in the current year of implementation; <p>The lessons generated by the project are very brief and mainly managerial, but not technical. For example, it would be great to generate lessons from mangrove restoration and adaptation livelihood activities by the project. Additionally, current project lessons do not help a lot to solve the project issues because they do not provide effective solution to the problems.</p>
Communication		MU (2)
Mechanisms of the project communication with stakeholders	MS (3)	<p>National PMU has a Communication and KM Officer, hired on June 1 2022, who is responsible for the project communication with stakeholders. The project does not have a Communication Strategy yet (the process to select an organization for the strategy development will be completed in September 2022).</p> <p>Odisha State PMU has a Communication and M&E Officer too. The PMU has a well-developed Community Mobilization Strategy, brief guidance on the role of mass media in climate change awareness, and list of 10 key mass media and 18 journalists (newspapers, magazines, and TV) to broadcast news related to the project. The team produced a presentation for the project stakeholders “Economics & Services of Mangroves”. The state level project web-site is under construction in Odisha.</p> <p>Both Odisha and Maharashtra PMUs have regular meetings with local communities in the project landscapes in frameworks of the Output 1 and 2. Thus, at least 1,379 local people, including 854 women (62%) were involved in the project communication process in Odisha; and 1,635 people, including 435 women (27%) in Maharashtra landscapes.</p>
Mechanisms for receiving stakeholder feedback on the project implementation	MU (2)	<p>Currently the project is using limited number of channels to receive feedback from stakeholders:</p> <ul style="list-style-type: none"> • State PSC and District PSC meetings in Odisha and Maharashtra (with feedback reflected in the meeting minutes); • Meetings with local communities and district administrations in the project landscapes to discuss the project activities. <p>National PSC and Andhra Pradesh State PSCs, as mechanisms for receiving stakeholder feedback, has been unfunctional in 2019-2022. Also, there are no monitoring visits and surveys in the project landscapes have been organized yet. There is no functional GRM exists for the project.</p>

		In Maharashtra some of the local communities are not aware about mangrove restoration activities going on near their villages and are not involved in the restoration process.
Functional outreach and awareness campaigns	MU(2)	As we mentioned above, national level awareness and outreach on the GCF project has just started in July-August 2022. Maharashtra and Odisha State PMU currently have initial outreach and awareness activities on the GCF project in the project landscapes, including celebration of the World Wetlands Day.

6.5. Sustainability

Overall rating for the Sustainability is *Moderately Likely (ML)*. Please, see review of different aspects of the project results sustainability in the next sub-sections:

Financial sustainability. *Moderately Likely (ML)*. All three project Outputs have different levels of dependency on external financial resources for their sustainability. Output 1 requires large amount of funds to restore mangroves and salt marshes, creating sources of tidal water for mangrove regeneration and catchments, however, as soon as they are restored and demarcated, they will likely need only little resources for local law enforcement to protect them from re-encroachment and unsustainable use. In the case of coral reef restoration and seagrass restoration only the initial investment is high and their maintenance cost of low. Dependency on external financial resources can be also avoided if the local community-based institutional arrangements are robust in terms of organizational structure, roles and responsibilities, delegated power to manage restored areas.

Given the current situation, the Output 2 requires significant funds to establish adaptation livelihood units and may also require additional expenses to support their sustainability. The project currently applies correct strategy to ensure sustainability of the units at least partially through requesting 10% co-financing for the units from local communities. However, the project does not organize market surveys for the adaptation options provided and does not yet support development of simple business plans for the units to ensure their sustainability in the market. Additionally, some of the livelihood options the project plans to develop have no markets in India and can be financially unsustainable. So, Output 2 will need more thinking, discussion, and investment to make adaptation livelihood options financially self-sustainable.

Output 3 is unlikely to require external financial resources for maintenance as soon as necessary EbA and climate-smart policies, legislation, and plans are developed and adopted by GoI. Implementation of the policies and plans will be financed from GoI budget. However, current project progress to deliver the Output 3 is zero (see Table 10 for details).

Socio-economic sustainability. *Moderately Unlikely (MU)*. There are some socio-economic risks for sustainability of Outputs 1 -3:

Output 1: Mangroves that are protected by various legal instruments such as Coastal Zone Notification, Wildlife Act and Forest Act will not face any severe economic and social risks. However, mangroves located in the lands owned by the Revenue Department will always be under threat of being converted into

other land uses, such as the establishment of industries, special economic zone, development airports etc. In the case of coral reefs and seagrass, the biggest risk is the operation of trawlers in the areas, that poses risks from economic and social angles. The coral reefs are considered a ground for anchoring small fishing boats. Though the magnitude of these small-scale economic activities is small, it may affect the restored and natural coral reefs and seagrass beds if the management and protection is insufficient. Seagrass beds are also under the risks of converting into shrimp farms (see Table 10 for details).

For the Output 2, there are a few quite significant social and economic risks: (1) weak buy-in and limited engagement of the communities in the adaptation livelihood options suggested by the project. This is especially true for the new, labor intensive, or less productive in comparison with traditional livelihood options, even if they contribute to higher climate change adaptability of local communities; (2) lack of well-established markets for some of the adaptation livelihood options. In this case the established units can collapse after the end of the project support; (3) abrupt changes in the markets due to economic, health, or political crisis (e.g., collapse of the eco-tourism market due to COVID-19 pandemic). That may lead to lack of profitability of established units and their collapse; (4) low involvement of women (currently only 27%) and SC/SG (only 1.2%) in the adaptation livelihood options, that can exacerbate gender and social inequality in the project landscapes.

The level of partnership to ensure social and economic sustainability of the project results is relatively low. The partnership among various government agencies as well as with the local elected government is good in the project states. The partnership with the local community with reference to achieving success and sustaining Output 1 is weak. The local people are considered only a beneficiary of the project output, not project partners. Similarly, the project partnership with both the local and national level NGOs is very poor though the project provides ample opportunity to develop a partnership with NGOs. As a result, community mobilization and organization and participation of the community in project planning, implementation and monitoring are poor. Partnership with government and private research organizations is also not up to the mark. No any project partnerships or mechanisms have been established yet to sustain Outputs 2 and 3 so far (see Table 10 for details).

Institutional and governance sustainability. *Moderately Likely (ML).* India has all necessary legislation and policies in place to ensure restoration and conservation of mangroves, coral reefs, seagrass beds and watersheds. Additionally, India has all national government structures in place to maintain Outputs 1 of the project that has direct ownership of the project results, the Ministry of Environment, Forests and Climate Change and State Forest and Environment Departments. The agencies have representativeness in the project regions and districts. In addition, all the project states have the State Coastal Zone Management Authority as well as the State Environmental Impact Authority, which takes care of environmental management in the coastal areas with reference to developmental projects.

For the Output 2 the appropriate governance structures to ensure sustainability are SRLM and MGREGA supported by the national and state legislation. For the Output 3 the most appropriate mechanism to ensure sustainability is the National Coastal Mission that is not established yet.

Community-based ecosystem co-management structures are still lacking in the project landscapes. For example, as was mentioned above, MCMCs formed in Maharashtra focus only on livelihood activities and have no role in mangrove and other ecosystem restoration. Similarly, many Eco-Development Committees formed in the Bhitarkanika landscapes are non-functional in case of ecosystem co-management (see Table 10 for details).

Environmental Sustainability. *Moderately Likely (ML).* Extreme climate events (like floods, storms, cyclones, etc.) might have severe direct and indirect impact on sustainability of the project Outputs. These

environmental risks could result in losses and damages caused to project interventions, reducing their efficacy and success. For example, some of the adaptation livelihood infrastructure for sea bass were damaged and lost due cyclone in the past two years. Also, some community reported loss of crops in farming and horticulture in the sites visited. The project strategies to effect environmental risks can be called effective, however, current implementation of these strategies is very far from sufficient to address the environmental risks and badly needs improvement (see Table 10 for details).

Table 10. Assessment of the project Sustainability

Evaluation criteria	Evaluation Score	Justification
Financial sustainability		
Level of dependence of the Outputs sustainability on external financial sources	ML (3)	<p>All three project Outputs have different levels of dependency on external financial resources for their sustainability. Output 1 requires large amount of funds to restore mangroves and salt marshes, creating sources of tidal water for mangrove regeneration and catchments, however, as soon as they are restored and demarcated, they will likely need only little resources for local law enforcement to protect them from re-encroachment and unsustainable use. In ecosystems like mangroves and salt marshes canals and creeks that supply tidal will need some funds to maintain them and protect them from siltation. In the case of coral reef restoration and seagrass restoration only the initial investment is high and their maintenance cost of low. Dependency on external financial resources can be also avoided if the local community-based institutional arrangements are robust in terms of organizational structure, roles and responsibilities, delegated power to manage restored areas. So, overall dependency of Output 1 on external resources is relatively low.</p> <p>Given the current situation, the Output 2 requires significant funds to establish adaptation livelihood units and may also require additional expenses to support their sustainability. The project currently applies correct strategy to ensure sustainability of the units at least partially through requesting 10% co-financing for the units from local communities. However, the project does not organize market surveys for the adaptation options provided and does not yet support development of simple business plans for the units to ensure their sustainability in the market. Additionally, some of the livelihood options the project plans to develop (e.g., smoked fish) have no markets in India or in the target states and can be financially unsustainable. So, Output 2 will need more thinking, discussion, and investment to make adaptation livelihood options financially self-sustainable.</p> <p>Output 3 is unlikely to require external financial resources for maintenance as soon as necessary EbA and climate-smart policies, legislation, and plans are developed and adopted by GoI. Implementation of the policies and plans will be financed from GoI budget. However, current project progress to deliver the Output 3 is zero.</p>

<p>Likelihood that financial resources will be available to support the project Outputs after its completion</p>		<p>The role of the coastal ecosystems selected for restoration in enhancing the adaptive capacity of the coastal community has been well understood by the policymakers, planners and administrators in India. There is a growing understanding of many other services provided by these ecosystems among all levels of India government. Because of their values and services, some of these ecosystems are declared as Reserve Forests (e.g., mangroves), some Wildlife Sanctuaries and others Eco-sensitive Zones and Ramsar Sites. As a result, the status of these ecosystems is regularly monitored, and necessary site-level management interventions are taken up regularly to sustain them. Above all, there is considerable interest among corporates to fund ecosystem restoration and conservation programs under their Corporate Social Responsibility schemes. This one of the potential resources that can be tapped to sustain the GCF project ecosystem restoration results. So, it is likely that funding to maintain the Output 1 will be available from national and international sources.</p> <p>For the Output 2, established adaptation livelihood units should be self-sustained in the market. For that, a market survey for each suggested livelihood option should be conducted and a simple business plan considering different market risks should be developed. Additionally, sustainability of the adaptation options can be achieved through alignment and synergy with SRLMs and flagship programs like MGNREGA. If it is done, it is likely that financial resources will be available to support the project outputs after its completion. Currently this is not explicit the project strategy.</p> <p>For the Output 3, if developed policy, legislation, and development plans are adopted by the National and State governments, the funding for their implementation is likely to be available from the government budgets.</p>
<p>Presence of mechanism to ensure financial sustainability of the project Outputs and Outcomes</p>		<p>There are a few initial mechanisms used by the project to ensure financial sustainability of its results, but all of them need further development and new mechanisms are necessary.</p> <p>Output 1: the mangroves, coral reefs, and seagrass beds are managed through Forest Working Plans, Wildlife Sanctuary Management Plans and Integrated Management Plan of Wetland. These plans are funded under various national and state government schemes and programs. Apart from these, funds are also provided to states for the implementation of Integrated Coastal Zone Management (ICZM) and the State Action Plan on Climate Change (SAPCC). The Ministry of Environment, Forests and Climate Change, Government of India, has established a society, namely, Society for Integrated Coastal Management (SICOM). SICOM functions as the nodal agency for strategic planning, management, execution, monitoring and successful implementation of Integrated Coastal Zone Management (ICZM) practices across the country and the National Project Management Unit (NPMU) for various ICZM Projects in all the 13 Coastal States/UTs.</p>

		<p>Thus, there are existing mechanisms in India to ensure financial sustainability of the GCF Project Output 1</p> <p>For Output 2 the project establishes Adaptation Livelihood Units (7-8 people each) and requests 10% co-financing from the local people to establish each Unit, that can represent a partial mechanism to ensure financial sustainability of the Units. However, currently these Units have no long-term strategy for self-maintenance based on sound business planning and market analysis. National Rural Livelihood Mission (NRLM) is a poverty alleviation project implemented by the Ministry of Rural Development, Government of India, and this mechanism can provide support to the Adaptation Units after the project is over. This plan focuses on stabilizing and promoting existing livelihood portfolio of the poor through its three pillars – ‘vulnerability reduction’ and ‘livelihoods enhancement’ through deepening/enhancing and expanding existing livelihood options and tapping new opportunities in farm and non-farm sectors; ‘employment’ – building skills for the job market outside; and ‘enterprises’ – nurturing self-employed and entrepreneurs (for micro-enterprises). Each project state also has a State Rural Livelihood Mission (SRLM). In 2021-2022, the funds allocated to the NRLM are equal to ~1.7 billion USD. Thus, NRLM and SRLM support can be available for the Units established by the project, however, necessary arrangements are required to ensure that support.</p> <p>Output 3 can be supported from the National and State Government budgets, as soon as the policies, legislation, plans, and frameworks developed by the project are officially approved by the Government. However, as we mentioned above, current delivery of the Output 3 is 0%.</p>
Socio-economic sustainability		
<p>Presence and magnitude of economic and social risks for the project Outputs</p>	<p>MU (2)</p>	<p>There are some socio-economic risks for sustainability of Outputs 1 -3:</p> <p>Output 1: Mangroves that are protected by various legal instruments such as Coastal Zone Notification, Wildlife Act and Forest Act will not face any severe economic and social risks. However, mangroves located in the lands owned by the Revenue Department will always be under threat of being converted into other land uses, such as the establishment of industries, special economic zone, development airports etc. In the case of coral reefs and seagrass, the biggest risk is the operation of trawlers in the areas, that poses risks from economic and social angles. The coral reefs are considered a ground for anchoring small fishing boats and collection sites of seaweeds. Though the magnitude of these small-scale economic activities is small, it may affect the restored and natural coral reefs and seagrass beds if the management and protection is insufficient. Seagrass beds are also under the risks of converting into shrimp farms.</p>

		<p>For the Output 2, there are a few quite significant social and economic risks:</p> <ul style="list-style-type: none"> • Weak buy-in and limited engagement of the communities in the adaptation livelihood options suggested by the project. This is especially true for the new, labor intensive, or less productive in comparison with traditional livelihood options, even if they contribute to higher climate change adaptability of local communities; • Lack of well-established markets for some of the adaptation livelihood options. In this case the established units can collapse after the end of the project support; • Abrupt changes in the markets due to economic, health, or political crisis (e.g., collapse of the eco-tourism market due to COVID-19 pandemic). That may lead to lack of profitability of established units and their collapse; • Low involvement of women (currently only 27%) and SC/SG (only 1.2%) in the adaptation livelihood options, that can exacerbate gender and social inequality in the project landscapes. <p>Currently all these risks are high and are not appropriately addressed by the project.</p>
<p>Level of stakeholder ownership on the project Outputs in terms of economic feasibility</p>		<p>All Responsible Parties, MoEFCC, Govt of India and State Forest Departments have high level of ownership of the project Output 1 and are committed to maintain restored coastal ecosystems after the project is over. However, ownership of the local community to restoration process and restored areas remains low due to lack of opportunity to have their say and participation in the restoration activities. For example, local communities in Maharashtra have been only marginally involved in the restoration of mangroves near their villages and almost 90% of paid workers for the restoration were brought from non-local communities. Additionally, despite high number of MCMCs established in Maharashtra landscapes, they do not participate in the mangroves restoration and management.</p> <p>For the Output 2 it is currently impossible to estimate the level of community ownership on the adaptation livelihood options provided by the project (the program only started in 2022 in Maharashtra). However, a few ornamental fish units visited by the IE team demonstrated enthusiasm and ownership by the local people. Some units even received first income from the new business.</p> <p>For the Output 3 no any ownership is currently established as no results have been produced yet.</p>
<p>Presence of partnerships and other mechanisms to sustain the project Outputs</p>		<p>The partnership among various government agencies as well as with the local elected government is good in the project states. For example, in the case of Maharashtra, village level micro plans are prepared, which are presented and discussed in the</p>

		<p>meetings of the village Panchayat and then send to the District Administration for approval. This helps in developing partnership among various stakeholders. However, such partnership exists only for livelihood related activity and not relating to coastal ecosystem restoration and management. The partnership with the local community with reference to achieving success and sustaining Output 1 is weak. The local people are considered only a beneficiary of the project output, not project partners. The lack of opportunity for the local communities to actively and genuinely participate in the process of restoration of various ecosystems may wean away from taking responsibility in the management of the restored ecosystems in the future.</p> <p>In fact, the project in its risk management mentions that more investment will be made in mobilizing community as well as capacity building of community and officials to promote engagement during the project implementation phase. It also mentions project will be implemented in close collaboration with the community through co-management structures. However, project team has not taken any serious in this direction.</p> <p>Similarly, the project partnership with both the local and national level NGOs is very poor though the project provides ample opportunity to develop a partnership with NGOs. As a result, community mobilization and organization and participation of the community in project planning, implementation and monitoring are poor.</p> <p>Project partnership with government and private research organizations is also not up to the mark. Some initiatives, such as the partnership with the National Centre for Sustainable Coastal Management for vulnerability assessment and the National Institute of Oceanography for coral reef restoration site identification, have now emerged in 2022.</p> <p>No any project partnerships or mechanisms have been established yet to sustain Outputs 2 and 3 so far.</p>
Institutional and governance sustainability		
<p>Presence of appropriate policies, legislation, and governance structures to support project Outputs</p>	<p>ML (3)</p>	<p>India has all necessary legislation and Policies in place to ensure restoration and conservation of mangroves, coral reefs, seagrass beds and watersheds. That includes the following</p> <ol style="list-style-type: none"> 1. Environmental (Protection) Act)1986 2. Forest (Conservation) Act 1980 3. National Forest Policy 1992 4. Wildlife Protection Act 1972 5. National Water Policy 2002 6. National Agriculture Policy 2000 7. Wetland (Conservation and Management) Rules 2017 8. The Coastal Regulation Zone (CRZ) notification

		<p>Apart from these, India's Intended National Determined Contribution aims to create an additional carbon sink of 2.5 to 3 billion tons of CO2 equivalent through additional forest and tree cover by 2030. The National Action Plan on Climate Change, 2008 focuses on interventions that will respond to the impacts of climate change while simultaneously advancing India's development objectives through the implementation of the NAPCC's eight National Missions, including the National Coastal Mission. The implementation of these missions aims to promote a national understanding of and action on i) climate change; ii) adaptation; iii) mitigation; iv) energy efficiency; and v) nature conservation</p> <p>Additionally, India has all national government structures in place to maintain Outputs 1 of the project that has direct ownership of the project results, the Ministry of Environment, Forests and Climate Change and State Forest and Environment Departments. The agencies have representativeness in the project regions and districts. For example, each state has State Biodiversity Board and State Wetland Management Authority, which prepare and implement multistakeholder-based Integrated Management Plans. In addition, all the project states have the State Coastal Zone Management Authority as well as the State Environmental Impact Authority, which takes care of environmental management in the coastal areas with reference to developmental projects.</p> <p>There are district government structures in place responsible for the conservation and sustainable management of various ecosystems. This includes District Level Wetland Management Committee, District Level Eco-sensitive Area Monitoring Committee and District Coastal Zone Management Authority. These district-level committees conduct due diligence on applications of various developmental projects, including setting up of industries, ports, and aquaculture farms in the coastal areas.</p> <p>For the Output 2 the appropriate governance structures to ensure sustainability are SRLM and MGREGA supported by the national and state legislation.</p> <p>For the Output 3 the most appropriate mechanism to ensure sustainability is the National Coastal Mission that is not established yet.</p>
<p>Capacity of institutional and governance structures to sustain the project Outputs</p>		<p>Current capacity of the MoEFCC and State Environment and Forest Departments sufficient to maintain the project results under Output 1. Additionally, National Centre for Sustainable Coastal Management (NCSCM) and the Society of Integrated Coastal Management (SICOM) are autonomous centers of the MoEFCC that helps implement the Coastal Regulation Zone Notification 2019 and developed national guidelines for Integrated Coastal Zone Management.</p> <p>The IE team could not assess the current capacity of NRLM and SRLM to sustain Output 2 results in the project states.</p>

<p>Role of the project in establishment of appropriate policy, legislation and capacity to sustain the project results</p>		<p>Currently the project role on that is very low. Thus, in case of the management and protection of restored coastal ecosystem the project does not establish community co-management structures (Output 1). For example, MCMCs established by the project in Maharashtra are not really involved in the mangroves restoration and management. In Odisha involvement of local communities in the restoration process is much higher, however, co-management of mangroves by local communities is still very low.</p> <p>In regards to Output 2 only a couple of trainings were provided to local communities on adaptation livelihood (69 people were trained); no trainings for the district extension staff were provided to promote adaptation livelihood among local communities; no micro-loan funds, business associations or cooperatives have been established by the project yet to ensure sustainability of the livelihood options; no market analysis and business planning have been done so far.</p> <p>Delivery of the Output 3 have not been started yet.</p>
<p>Presence, structure, responsibility and capacity of the village-level institutions to deliver and sustain project results at landscape level</p>		<p>Though the project envisages the active and genuine participation of the local community, the project has limited actions on establishing suitable village-level institutions that can participate in project planning and implementation, monitoring and sustaining the results. Some of the committees formed are sectoral. For example, as was mentioned above, MCMCs formed in Maharashtra focus only on livelihood activities and have no role in mangrove and other ecosystem restoration. Similarly, many Eco-Development Committees formed in the Bhitarkanika landscapes are non-functional in case of ecosystem co-management. The Joint Forest Management Policy provides ample scope for the active and genuine participation of the community in the restoration and conservation of various ecosystems. This approach is people-centric, process-oriented and results-based. In all the landscapes, genuine efforts should be taken by the project implementing agencies to establish village-level institutions as envisaged in the JFM policy to sustain project results.</p> <p>For the Output 2, the project uses established Self-Hep Groups (SHGs) for introduction of the adaptation livelihood options. No NGOs are currently involved in this process, however, they work in the project landscapes.</p>
<p>Environmental sustainability</p>		
<p>Presence and severity of environmental factors, including climate change effects, that can influence sustainability of the project Outputs</p>	<p>ML(3)</p>	<p>The sustainability of the project results may be affected by the following environmental factors:</p> <ul style="list-style-type: none"> • Reduction in freshwater flow may seriously affect mangrove ecosystems since the wealth (biodiversity and biomass), and health of the mangroves is very much

		<p>related to quantify, quality and duration of freshwater flow into the mangroves;</p> <ul style="list-style-type: none"> • Reduction in seawater ingress into mangroves and seagrass ecosystems: though mangrove requires a large quantity of freshwater, it also requires a regular flow of seawater to create the estuarine condition to sustain the mangrove wetlands. Obstruction to the flow of seawater either due to natural causes or due to anthropogenic interventions may have a negative impact on mangroves. Similarly, seagrass beds require clean and more or less a constant level of salinity, which is possible only if the seawater freely flows in and out of the systems where seagrass grows into meadows. Many of the lagoon and estuaries along the east coast are prone to closure of mouth region seasonally due to deposition of sands that comes from the sea. • Extreme climate events (like cyclones, storm surges, floods and droughts) might have a severe direct and indirect impact on the sustainability of the project Outputs. The number of incidents and intensity of cyclones and associated storm surges is increasing both along the east and west coast of India. <p>These environmental risks could result in losses and damages caused to project interventions, reducing their efficacy and success. For example, some of the adaptation livelihood infrastructure for sea bass were damaged and lost due cyclone in the past two years. Also, some community reported loss of crops in farming and horticulture in the sites visited.</p>
<p>Effectiveness of project strategies to address environmental risks to sustainability</p>		<p>The State governments have already taken some steps to reduce the impact of some environmental factors. For example, the Chilika Development Authority has created additional connections between the sea and Chilika lake. It ensures flow of clean seawater into the lake and thereby creates a conducive environment for seagrass to flourish.</p> <p>The project strategies to effect environmental risks can be called effective. They are the following:</p> <ul style="list-style-type: none"> • Coastal ecosystem restoration, protection, and community co-management (increasing role of coastal ecosystems as climate change mitigation mechanism and buffer against extreme climate events); • Providing local communities with opportunities to develop adaptation livelihoods and multiple sources of income to increase their resilience to climate change; • Development of climate-smart and EbA inclusive national and state policies, legislation, and development plans to increase resilience of coastal communities, cities, infrastructure, and businesses to adverse climate effects. <p>However, current implementation of these strategies is very far from sufficient to address the environmental risks and badly needs improvement (see Progress Towards Results section for details).</p>

Average Score:	ML (3)	

6.6. Country Ownership

Overall rating for the Country Ownership is *Moderately Unsatisfactory (MU)*. Until 2021 MoEFCC participation in the project was very low. Andhra Pradesh Government supported the project only in 2022 and still no project activities commenced in the state. Maharashtra and Odisha Governments have been actively involved in the project implementation since 2021 and provided sufficient co-financing. The level of ownership and support of the local community and NGOs to achieve the project results is a serious issue. The NGOs are essential partners in the implementation of the present complex project, but they have not been involved in the project yet (except of NGO representation in some of the District PSC in Odisha). Similarly, the local community who experiences day-to-day climate-related problems that slowly creep into their lives and livelihoods are not actively involved in the project implementation, especially in the Output 1, where ownership and co-management of the coastal ecosystems by communities is absolutely necessary for their sustainability. Beneficiaries of the adaptation livelihood units established in Maharashtra (Output 2) demonstrate high level of ownership of the new enterprises, but majority of the community members are not involved in these livelihood options yet (see Table 11 for details).

Table 11. Assessment of the project Country Ownership

Evaluation criteria	Evaluation Score	Justification
Level of involvement of government agencies and other key partners in the project development and implementation	MU (2)	<p>The involvement of government agencies in project development was high. The MoEFCC and state governments of Odisha, Maharashtra and Andhra Pradesh were involved in the development of the project. Officials from the MoEFCC and state Environment, Forest, Fisheries, Revenue, Agriculture and Irrigation Departments have participated in the National and State consultation process relating to the development of the project. The State Livelihood Mission of the Maharashtra state was also actively involved in designing the project.</p> <p>However, until 2022 MoEFCC participation in the project was very low. Andhra Pradesh Government supported the project only in 2022 and still no project activities commenced in the state. Maharashtra and Odisha Governments have been actively involved in the project implementation since 2021 and provided sufficient co-financing. The Forest Departments are leading the project implementation in Maharashtra and Odisha, and Rural Development, Agriculture, and Fisheries Departments are involved in the project implementation. At the District level, District Coordination Committee, with the District Collector as Chairman, is actively involved in project implementation.</p> <p>However, local NGOs and community organizations have very limited involvement in the project so far. No NGO partners</p>

		involved in the project activities in target landscapes (except of NGO representation in some of the District PSC in Odisha).
Representativeness of the National and States Project Steering Committees	MU (2)	National and State PSCs are highly representative of different government agencies, but have no involvement of NGOs and community organizations. There is no SC/ST representation in the PSCs
Level of ownership and support of the project results by key government agencies, district administrations, and local communities	MU (2)	<p>The level of the project ownership by the Maharashtra and Odisha State governments is high. The state governments promptly established State PMUs and PSCs for the implementation of the projects and also issued Government Orders and Resolutions committing to the deployment staff and allocating the budget for co-financing. The State Project Directors and PMUs have good understanding of the project and its expected results. However, the incorporation climate resilience concept in project implementation is still in the nascent stage. Involvement of the District Administration is also at an appreciable level. The District Level Coordinator Committees have a good representation of various government departments and are well aware of their job.</p> <p>MoEFCC ownership of the project was low until 2022, however, the situation has changed recently with the change of the leadership at the relevant Ministry's department. Similarly, Andhra Pradesh government was not interested in the project until 2022, but the situation improved with the change of the State government. Thus, the IE Team could see increase of the project ownership by both MoEFCC and Andhra Pradesh in 2022. MoEFCC is currently finalizing the forming of the National PMU and operationalization of the National PSC. Andhra Pradesh government will complete the establishment of the State PMU at the end of September 2022.</p> <p>The level of ownership and support of the local community and NGOs to achieve the results is a serious issue. The NGOs are essential partners in the implementation of the present complex project, but they have not been involved in the project yet. Currently 7 NGOs are in the process of hiring to support the project in landscapes of Odisha. Similarly, the local community who experiences day-to-day climate-related problems that slowly creep into their lives and livelihoods are not actively involved in the project implementation, especially in the Output 1 where ownership and co-management of the coastal ecosystems by communities is absolutely necessary for their sustainability. Beneficiaries of the adaptation livelihood units established in Maharashtra (Output 2) demonstrate high level of ownership of the new enterprises, but majority of the community members are not involved in these livelihood options yet. The amalgamation of the knowledge, skill and commitment of the local community and climate change adaptation-related scientific concepts and methods are essential in achieving the project's goal, objectives and outputs.</p>
Average Score:	MU(2)	

6.7. Gender Equity

Overall rating for the Gender Equity is *Moderately Unsatisfactory (MU)*. Annexure XII-D: Stakeholder Consultations does not specify number of women involved in the project development. The original project Gender Assessment in the GCF proposal is based on good analysis of gender issues for India as a country, but does not contain specific analysis of the situation in the project target states and specifically coastal and fishing community. The Gender Assessment and Gender Action Plan (January 2019) has 15 gender disaggregated targets and indicators for 7 activities. The Gender Action Plan has never been updated after the project start. State PMUs do not have their own gender plans and use the original project plan developed in 2019. The National PMU does not have a gender focal point but the role is covered by the Environment and Social Safeguards Officer who joined the team on 1 July 2022. No gender mainstreaming trainings have been provided to the State PMUs yet. The Project Result Framework has 4 gender-disaggregated indicators, however, they are repetitive. The original SESP does not consider gender-specific risks (Principle 2: Gender Equality and Women’s Empowerment), however, mentions this risk (Risk 8) among the project risks above. Similarly, the ESMF does not mention any gender specific risks, except brief indirect mention on establishment of multi stakeholder groups and networks. There is no quarterly updates of SESP, including gender risks, practiced by the project yet. The total number of women involved in the Output 2 activities is only 435 (only 26% among all Output 2 beneficiaries, instead of planned 60%. Among them only 0.6% from the women headed households, instead of planned 15%. So, the ambitious project target to achieve 100,000 people at midterm, of which 60% (60,000) of women among the project beneficiaries and 15% (15,000) from women headed households might be challenging to achieve without specific gender mainstreaming activities and specific beneficiary selection criteria. IE team could not estimate how many women were involved in the ecosystem restoration process under the Output 1. National PMU has 3 females out of the 7 officers now. The Maharashtra PMU has 1 woman out of 7 staff; and Odisha has 1 woman out of the 6 staff (including State project directors). So, the project management bodies are strongly dominated by males (see details in Table 12).

Table 12. Assessment of the project Gender Equity.

Evaluation criteria	Evaluation Score	Justification
Level of women/men involvement in the project development	U (1)	During the project development at least 1,541 stakeholders were consulted as per the proposal Annexure XII-D: Stakeholder Consultations. However, this annex does not mention the number of women who were consulted at national state, district, and local level.
Quality and regular review of the project Gender Mainstreaming Plan	MU (2)	The original project Gender Assessment in the GCF proposal is based on good analysis of gender issues for India as a country, but does not contain specific analysis of the situation in the project target states and specifically coastal and fishing community. The Gender Assessment and Gender Action Plan (January 2019) has 15 gender disaggregated targets and indicators for 7 activities. The Gender Action Plan has never been updated after the project start. State PMUs do not have their own gender plans and use the original project plan developed in 2019.

		The National PMU does not have a gender focal point but the role is covered by the Environment and Social Safeguards Officer who joined the team on 1 July 2022. No gender mainstreaming trainings have been provided to the State PMUs yet.
Presence of gender disaggregated indicators in the PRF	S (4)	<p>The Project Result Framework have 4 gender-disaggregated indicators, however, they are repetitive:</p> <p>Output 2 Indicator <i>Number of males and females adopting diversified, climate resilient adaptive practices</i> has a target of 60% of women and 15% of women-headed households among 348,994 people;</p> <p>Outcome Indicator 7.1 <i>Use by participating households of support on climate adaptive livelihoods and value chains, and benefit by at risk households from reduced disaster exposure</i> has a target of 50% of women among 1,744,970 people;</p> <p>Impact Indicator <i>Total number of direct and indirect beneficiaries (% of whom is female)</i> repeats same targets as Outcome Indicator 7.1 for direct beneficiaries: 1,744,970 people (50% female, and 12% from female-headed households); and 10,000,000 people (50% female, and 12% from female-headed households) for indirect beneficiaries;</p> <p>Impact Indicator 1.2 <i>Number of males and females benefiting from the adoption of diversified, climate adaptive livelihood options (including fisheries, agriculture, tourism, etc.)</i> again repeats Impact Indicator for direct beneficiaries and Outcome Indicator 7.1. and targets 50% of female.</p>
Quality of monitoring and mitigation of the project gender related risks	U (1)	<p>The original SESP does not consider gender- specific risks (Principle 2: Gender Equality and Women’s Empowerment), however, mentions this risk (Risk 8) among the project risks above. Similarly, the ESMF does not mention any gender specific risks, except brief indirect mention on establishment of multi stakeholder groups and networks.</p> <p>The project SESP was updated in 2021.</p> <p>There is no quarterly updates of SESP, including gender risks, practiced by the project yet.</p>
Level of women/men involvement in implementation of the project activities, including direct beneficiaries	U (1)	The total number of women involved in the Output 2 activities is only 435 (only 26% among all Output 2 beneficiaries, instead of planned 60%. Among them only 0.6% from the women headed households, instead of planned 15%. So, the ambitious project target to achieve 100,000 people at midterm, of which 60% (60,000) of women among the project beneficiaries and 15% (15,000) from women headed households might be challenging to achieve without specific gender mainstreaming activities and specific beneficiary selection criteria. Additionally, 285 women (40% of total 715 people) were involved in the mangrove restoration in Maharashtra under Output 1. So, far current proportion of women among the project beneficiaries is low.

		<p>Odisha State PMU conducted 43 village level meetings in 4 project districts involving 1,379 local people, including 854 women (62%) in 2022.</p> <p>In India the land and housing ownership is always in the name of the man and hence likely to be the key beneficiaries of the livelihood options regarding land based livelihood options. This is significant as a larger number of target beneficiaries are under SRI. The project data shows that 88% of beneficiaries of SRI are men.</p> <p>A gender mainstreaming checklist to screen project activities, has not been applied or developed for the project yet.</p>
Gender ratio in the PMU and Project Steering Committee	MU (2)	<p>National PMU has 3 females out of the 7 officers now. The Maharashtra PMU has 1 woman out of 7 staff; and Odisha has 1 woman out of the 6 staff (including State project directors). Only one woman was among 9 members of the State PSC in Maharashtra that were present at two State PSC meetings in Maharashtra in 2021 and 2022. Similarly, there is only one woman in the Odisha State PSC among 15 members.</p> <p>So, the project management bodies esp. at state level are strongly dominated by males.</p>
Average Score:	MU (2)	

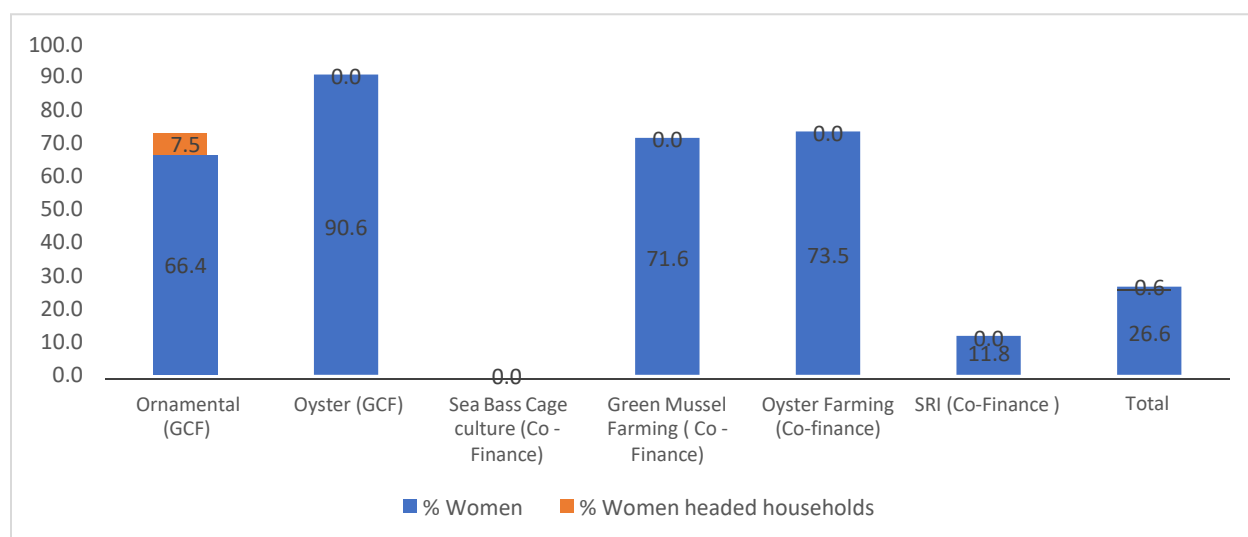


Figure 9. Percentage of female among the project beneficiaries for the Output 2

6.8. Innovativeness

Overall rating for the Innovativeness is *Satisfactory (S)*. See details in the Table 13.

Table 13. Assessment of the project Innovativeness.

Evaluation criteria	Evaluation Score	Justification
Number and character of innovative approaches applied by the project	S (4)	<p>Restoring mangroves through desilting and renovating existing natural tidal canals and creeks is an innovative idea developed at the local level in Bhitarkanika. It has potential for replication other landscapes in the project but also in non-project states.</p> <p>Adaptation Livelihood options introduced by the project in the target landscapes of Maharashtra can be called innovative on the local level: SRI, 39 Units of Ornamental Fish Farming, 24 Units of Mussel Farming, 27 Sea bass cage culture Units; 7 Pearl Spot fish nursery units, 4 units of Oyster Farming. All this livelihood options are new for the target communities.</p> <p>No other innovation options at state or national level were found by the IE team</p>

6.9. Unexpected Results

Overall rating for the management and reporting of Unexpected Results is *Unsatisfactory (U)*. In 2021-2022 the project had a few “negative” unexpected results (see Table 14 for details). However, the unexpected results have never been reported in the project quarterly or annual reports. “Negative” unexpected results should be used to update the project Risk Log and develop respective management measures.

Table 14. Assessment of the project Unexpected Results.

Evaluation criteria	Evaluation Score	Justification
Number, character, and key drivers of the project positive or neutral unexpected results	N/A	The IE team did not find any positive or neutral unexpected results of the project
Number, character, and key drivers of the project negative unexpected results	N/A	<p>Following “negative” unexpected result was produced by the project:</p> <ul style="list-style-type: none"> • Unexpectedly low number of women among participants and beneficiaries of the Output 2 activities in Maharashtra: 435 out of 1,635 people (only 27%); • Very low number of SC and ST among beneficiaries of the Output 2: 20 out of 1,635 people (1.2%); • Unexpectedly high percentage of non-local people involved in the mangrove restoration process in Maharashtra: 638 out of 715 people (89%)

Quality and timeliness of monitoring, management, and reporting of the project unexpected results	U(1)	The project unexpected results have never been reported in the project Quarterly or Annual Reports. Hopefully, they will be reflected in the APR 2022. “Negative” results should be used to update the project Risk Log and SESP and develop respective management measures.
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6.10. Replication and Scalability

Overall rating for the project Replication and Scalability is *Moderately Unsatisfactory (MU)*. As was already discussed, in Project Management and Implementation section, lessons generated by the project are mainly managerial, but not technical. The current project lessons have never been applied to improve the project management. For example, it would be great to generate lessons from mangrove restoration and adaptation livelihood activities by the project in Maharashtra and Odisha. The IE Team did not find any examples of the current GCF project lessons or best practices that have been replicated in other states of India or abroad yet. However, potential applicability and scalability of the project current practices (despite their yet very limited number) in India and abroad (e.g., other countries of South Asia) are high: e.g., very successful mangrove restoration practices in Bhitarkanika, or development of adaptation livelihood options in Maharashtra (see Table 15 for details).

Table 15. Assessment of the project Replication and Scalability

Evaluation criteria	Evaluation Score	Justification
Key project lessons learned and shared	MU(2)	<p>The project briefly documents lessons learned in the APRs in the section 2.5 “Implementation challenges and lessons learned”. So far the following lessons were documented by the project:</p> <ul style="list-style-type: none"> • Frequent meetings with the Government both at the centre and state level are crucial in taking forth the activities of the project and overcome the project implementation delays. Hiring of Senior Technical Advisor, who will be the primary contact point between the Ministry and UNDP, should help to move the project forward; • The pandemic caused major delays in the field-level implementations, and the AE has received feedback from the Government to not rush the implementation process; • Absence of the National PMU has delayed some of the project coordination efforts, which will possibly be resolved from the next APR reporting; • Usefulness of online mode of working and preparation of a contingency plan for the next year in case the rise of COVID cases continues in the current year of implementation; <p>The lessons generated by the project are very brief and mainly managerial, but not technical. Additionally, current project lessons have never been applied to improve the project</p>

		management. For example, it would be great to generate lessons from mangrove restoration and adaptation livelihood activities by the project.
Number and character of the project best practices and lessons learned applied by other projects and programs in India and abroad	U(1)	The IE Team did not find any examples of the current GCF project lessons or best practices that have been replicated in other states of India or abroad yet. Due to low progress in 2019-2022 the project had not developed, tested, and formulated best practices that can be replicated in other areas.
Potential applicability and scalability of the project best practices and lessons learned in India and abroad	S (4)	Potential applicability and scalability of the project current practices (despite their yet very limited number) in India and abroad (e.g., other countries of South Asia) are high: e.g., very successful mangrove restoration practices in Bhitarkanika, or development of adaptation livelihood options in Maharashtra. However, to be highly applicable those lessons and practices need to be tested, formulated in details and published through different communication channels. Hopefully, by the end of the project the project team can develop a full set of detailed project lessons and best practices.
Average Score:	MU (2)	

6.11. IE Ratings & Achievement Summary

The IE ratings and project achievement summary is shown in the Table 16.

Table 16. IE Ratings and Achievement Summary

IE Criteria	IE Rating	Comments
Project Strategy	S	The project proposal was developed based on the good review of the lessons learned from at least 10 previous projects and initiatives for coastal ecosystem restoration and adaptation community livelihood, funded by the World Bank, ADB, GIZ, GEF, and UNDP. During the project development at least 1,552 stakeholders were consulted at national, state and landscape levels, however, share of women and Scheduled Casts and Tribes among the stakeholders is unknown. There is a strong intersection between risks in the Project Risk Log and SESP (4 risks are the same), no sufficient explanation of SESP risks is provided. The project is designed to address a set of specific and relevant climate and non-climate threats for India coastal ecosystems and communities through removal of clearly identified barriers. The project Theory of Change (ToC) does not directly correspond to Output, Outcome, and Impact indicators in the Project Results Framework. Project Activities are correctly phrased and described in sufficient details in most cases, including budgets; however, a few sub-activities for Activities 1.1, 1.2, and 3.2 need further clarification to allow their delivery. PRF is not absolutely logical and have a lot of redundant indicators that do not add additional value and clarity. Some Indicator targets are very ambitious and do not look realistic (e.g., restoration target for coral reefs and total number of people practicing adaptation livelihood).
Relevance	HS	The project is highly relevant to India's national priorities in coastal ecosystem conservation and adaptation to climate change, and is fully consistent with GCF and UNDP priorities. Three project strategies (coastal

		ecosystem conservation and restoration; community adaptation livelihood; and EbA and climate adaptation governance and policy) are fully relevant to address climate and non-climate threats to India's coastal ecosystems and vulnerable communities.
Effectiveness	U	Currently the project implementation effectiveness is insufficient and full achievement of the project Outcomes ⁷⁹ as stated in the PRF is unlikely if the project implementation does not change considerably . Thus, given current effectiveness (2019-2022), Outcome 1: Increasing area of coastal ecosystems (at least 14,950 ha of restored coastal ecosystems; no ecosystem loss after the end of the project) in the project landscapes contributes to the ecosystem resilience to climate change is likely to be achieved by 33% by 2025; Outcome 2: 1,744,970 local people (50% female) in the project landscapes practice climate-smart agriculture and adaptive livelihood options and benefit from climate adaptation is likely to be achieved by 0.4% by 2025⁸⁰; Outcome 3: National and coastal state governments implement climate-resilient management of coastal areas is likely to achieve 0% of the Outcome target by 2025 . The project most impressive results so far are restoration of 1,219 ha of mangroves and coastal watersheds and involving 1,704 local people in adaptation livelihood. At the same time the project has a number of serious shortcomings.
Efficiency	U	The project Output delivery is only 3.4% of planned by the Mid-Term. So, all project Outputs, are currently not on the target to be achieved. Similarly, project expenditures in 2019-2021 take only 5.4% of the amount that was planned in the project proposal for the same period. The project efficiency is impeded by incomplete project management and coordination structure.
Progress towards Results	U	Delivery of the project Activities by the Mid-Term is very low (3.4% of planned by the Mid-Term in average) and varies from 0% (Activities 1.1, 3.1-3.2) to 13% (Activity 1.2). Activities 2.1 and 2.2 have delivery rate 0.6% and 4.2% of planned by the Mid-Term respectively. The key barriers that impeded the project progress are: (1) significant delay to establish and operationalize project management structure; (2) COVID-19 pandemic restrictions in 2020-2021; and (3) delays to disburse to and use of project funds by the target States
Output 1 Delivery	U	Output 1 delivery is only 6.4% of planned by the Mid-Term
Output 2 Delivery	U	Output 2 delivery is only 2.4% of planned by the Mid-Term
Output 3 Delivery	U	Output 3 delivery is 1.5% of planned by the Mid-Term
Project Implementation and Adaptive Management	MU	The project management structure is still in the process of establishment and not fully functional yet. The National PMU was formed only in June-August 2022 and still does not have a M&E Officer. Maharashtra State PMU currently does not have a State Project Manager Communications, Monitoring & Evaluation Associate; and one District Coordination Officer. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all. The project has a National PSC that held so far only two meetings: in August 2020 and September 2022. There is no detailed Work Plan for the entire project life-time with targets for Activities and Outputs. Annual Work Plans (AWPs) 2019, 2020, 2021 were not approved by the National PSC as required by UNDP and GCF (AWP 2022 was approved by National PSC in September 2022). The total budget amount planned in 2019-2021 (\$896,029) is only 6% of the GCF budget planned for the same years (US\$13,587,451). Total project expenses of GCF funds for 2019-2021 represent 82% of the amount planned for the same period in the AWP, but take only 5.4% of the planned in the

⁷⁹ Project Outcomes are formulated by the IE team based on the updated ToC and review of the PRF

⁸⁰ Outcome 2 target of 1,744,970 people practicing adaptation livelihood is very ambitious and unlikely to be achieved even if the project effectiveness increases dramatically

		GCF proposal budget for the same years. Given the project expenditures in 2019-2021, it is very unlikely the project will be fully completed on time by June 2025.
Sustainability	ML	The project focus on sustainability of the results is not sufficient. Sustainability of the Output 1 results require more active involvement of local communities in the restoration and co-management of coastal ecosystems. Output 2 results face significant socio-economic risks that should be addressed through appropriate market surveys, business planning, market risk management, and high involvement of women and marginalized communities in the adaptation livelihood. Output 3 can address many sustainability issues for the project, but its delivery rate is currently zero. The project strategies to address environmental and climate risks are correct, however, their implementation is very low to ensure environmental sustainability of the project results.
Country Ownership	MU	Until 2021 MoEFCC's ownership of the project was insufficient. Andhra Pradesh Government supported the project only in 2022 and still no project activities commenced in the state. Maharashtra and Odisha Governments have been actively involved in the project implementation since 2021 and provided sufficient co-financing. The NGOs are essential partners in the implementation of the present complex project, but they have not been involved in the project yet. Similarly, the local community who experiences day-to-day climate-related problems that slowly creep into their lives and livelihoods are not actively involved in the project implementation, especially in the Output 1, where ownership and co-management of the coastal ecosystems by communities is absolutely necessary for their sustainability.
Gender Equity	MU	The original project Gender Assessment in the GCF proposal is based on good analysis of gender issues for India as a country, but does not contain specific analysis of the situation in the project target states and specifically coastal and fishing community. The Gender Action Plan has never been updated after the project start. No gender mainstreaming trainings have been provided to the State PMUs yet. The Project Result Framework has 4 gender-disaggregated indicators, however, they are repetitive. The original SESP does not consider gender-specific risks. There are no quarterly updates of SESP, including gender risks, practiced by the project yet. The total number of women involved in the Output 2 activities is only 435 (only 26% among all Output 2 beneficiaries, instead of planned 60%. Among them only 0.6% from the women headed households, instead of planned 15%. IE team could not estimate how many women were involved in the ecosystem restoration process under the Output 1. The project PMUs and PSCs are strongly dominated by males
Innovativeness	S	Restoring mangroves through desilting and renovating existing natural tidal canals and creeks is an innovative idea developed at the local level in Bhitarkanika. It has potential for replication other landscapes in the project but also in non-project states. Adaptation Livelihood options introduced by the project in the target landscapes of Maharashtra can be called innovative on the local level: SRI, 39 Units of Ornamental Fish Farming, 24 Units of Mussel Farming, 27 Sea bass cage culture Units; 7 Pearl Spot fish nursery units, 4 units of Oyster Farming. All this livelihood options are new for the target communities. No other innovation options at state or national level were found by the IE team
Unexpected Results	U	In 2021-2022 the project had a few "negative" unexpected results. However, the unexpected results have never been reported in the project quarterly or annual reports. "Negative" unexpected results should be used to update the project Risk Log, SESP, and develop respective management measures.

Replication and Scalability	MU	Lessons generated by the project are mainly managerial, but not technical. The current project lessons have never been applied to improve the project management. The project has not extracted lessons from mangrove restoration and adaptation livelihood activities by the project in Maharashtra and Odisha yet. The IE Team did not find any examples of the current GCF project lessons or best practices that have been replicated in other states of India or abroad yet. However, potential applicability and scalability of the project current practices (despite their yet very limited number) in India and abroad are high: e.g., very successful mangrove restoration practices in Bhitarkanika, or development of adaptation livelihood options in Maharashtra
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VII. Conclusions and Recommendations

7.1. Project Strategy

Conclusion 7.1.1. The Project Results Framework Indicator targets for coral reef and salt marshes restoration, as well as for total number of local people practicing adaptation livelihood are very ambitious and impossible to achieve through the project lifetime.

Recommendation 7.1.1. Medium Priority. The IE Team recommend to make the following adjustments of the project targets by December 2022, if GCF approves the changes:

Original Output/Outcome/Indicator Target	Revised Output/Outcome/Indicator Target
<p>Output 1 Indicator: Numbers of hectares of coastal ecosystems disaggregated by type – that are successfully restored to reduce the impact of climate induced disasters and other climate change impacts:</p> <p>Coral reefs EOP Target: 35 ha (Maharashtra)</p>	<p>Output 1 Indicator: Numbers of hectares of coastal ecosystems disaggregated by type – that are successfully restored to reduce the impact of climate induced disasters and other climate change impacts:</p> <p>Coral reefs recommended EOP Target:</p> <ul style="list-style-type: none"> - 2 ha of restoration of coral reef by transplanting coral fragments or colonies; - 33 ha of artificial reefs as a substrate for coral colonization, without transplanting . <p>Justification: Maharashtra has only 18 ha of coral reef, some of which are healthy and some which are already stressed. Thus, availability of parent corals for transplantation is limited and achieving the original target of restored 35 ha is not possible through transplanting. Development of artificial reef as a basis for natural coral restoration represent a cost effective alternative. In this regard, artificial reef modules developed and deployed in the Gulf of Mannar with the support previous GEF-UNDP project (IND/97/454/A/01/99) can be considered for adoption (report given in the ANNEXURE). The Central Marine Fisheries Research Institute,</p>

	<p>which has expertise and experience in constructing and deploying artificial reefs, can be roped in in the implementation of the project.</p> <p>Coral reef restoration, conservation and management will be possible only if the local fishing community, who knows the values of the coral reefs, should be involved from the beginning. For this purpose, Coral Reef Co-management Committee can be established in the participating villages, and the JFM process can be followed in the establishment and sustaining of these committees</p>
<p>Output 1 Indicator: Numbers of hectares of coastal ecosystems disaggregated by type – that are successfully restored to reduce the impact of climate induced disasters and other climate change impacts:</p> <p>Salt marshes EOP Target: 700 ha</p>	<p>Salt marshes recommended EOP Target: 20 ha</p> <p>Justification: This activity is restricted to Bahuda (250 ha to be restored) and Devi mouth (250 ha) landscapes in Odisha and Bantumulli Wetlands (100 ha), and Coringa Wildlife Sanctuary (100 ha) landscapes in Andhra Pradesh. During the field visits to the Bhitarkanika landscape, officials of the Forest Department informed the following. The NCSCM has prepared a land use map of the Bhitarkanika map in which it is indicated that a total area of 40 ha of salt marsh is present within the Bhitarkanika. However, he said that he could find any salt marsh in the location shown on the map. Similarly, the feasibility study shows that India has about 1700 sq. km. of salt marsh quoting an article⁸¹. However, no information on the salt marsh is given in the reference cited. On page 249, again, it is shown that India has about 1698 ha of salt marsh, mentioning another article⁸², but that article indicates the mudflats and associated waterbodies in the Gulf of Kachch. The publication on the land use of the Coastal Zone of India by the Space Application Centre classified halophytes (<i>Sueda spp.</i> and <i>Salicornia</i>) dominated as salt marsh. These above-mentioned areas do not fit into the definition of salt marshes. The salt marsh is an ecosystem restricted to middle and higher altitudes, and its climax plant community is</p>

⁸¹ Karim MF, Mimura N. 2005. Sea-level rise in the Bay of Bengal: Its Impacts and Adaptations in Bangladesh. Center for Water Environment Studies, Ibaraki University, Japan

⁸² MoEFCC & GIZ. 2014. The Economics of Ecosystems and Biodiversity TEEB India Initiative: Interim Report – Working Document.

	<p>tall grasses. Secondly, the actual salt marsh will have deep hypoxia (less oxygen content) peat soil. The physical, bio-geo chemical and biological properties of the true salt marsh is entirely different from halophyte dominated muddy areas, which may get inundated with water during the monsoon season. The suggested action in the project document to restore salt marshes area a) restoration of tidal flushing regimes, b) removal of sediment from the salt marsh areas, c) planting of salt marsh species such as Salicornia and Spartina and d) removal of invasive species. However, no studies have been undertaken to understand the hydrological and oceanographic regimes and sediment and sedimentation properties of this ecosystem in India. Hence, without any technical knowledge of the ecological factors that act upon and within the salt marshes, it would be appropriate to alter tidal regimes, remove sediments etc. It is to be mentioned that <i>Spartina spp</i>, which is recommended in the project document for plantation in the salt marsh, are native to Europe and North America. Considering the above, it is recommended that in Bahuda and Devi mouth landscapes in Odisha and Bantumulli Wetlands and Coringa Wildlife Sanctuary landscapes in Andhra Pradesh halophyte plantation can be taken in 5 ha in each landscape. Thus, a total area of 20 ha can be covered under halophyte plantation</p>
<p>Outcome Indicator 7.1: Use by participating households of support on climate adaptive livelihoods and value chains, and benefit by at risk households from reduced disaster exposure.</p> <p>EOP Target: 1,744,970 people practicing adaptation livelihood.</p>	<p>Recommended EOP Target: 250,000 people practicing adaptation livelihood.</p> <p>Justification: under the Output 2 the project targets to train and support only 348,994 people on adaptation livelihood (Output 2 Indicator). This is very ambitious target for the project. Also, given our experience with other similar GCF and GEF project many local people supported on new adaptation livelihood options may stop practice them after the project support is over. So, from 348,994 people the project directly support and train on adaptation livelihood we can expect ~30% to drop off from the new options and come back to traditional ones due to different reasons, like low profitability, high labor intensity, lack of sufficient</p>

	<p>markets, or lack of funds to support new livelihood options. Given all that the original target of 1,744,970 people practicing new adaptation livelihood options by the end of the project is unrealistic. For example, during the IE of the UNDP/GCF project “Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda Project (PIMS 5711/FP034)” in 2021 in Eastern Uganda 56.8% of the respondents (people who were supported with adaptation livelihood options in the project framework) confessed they gave up the livelihood options provided and went back to the wetland for agriculture; 67.9% of the project adaptation livelihood beneficiaries in Kibuku districts said they are not satisfied with the livelihood options they received as an alternative. So, it makes sense to be conservative in setting of adaptation livelihood targets.</p>
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Conclusion 7.1.2. The project has 7 high level Activities that are complex and have multiple sub-activities. The Activities are critical for delivery of the project three Outputs, however, no end of the project targets are developed for the Activities and their implementation cannot be monitored by the Project Results Framework Indicators.

Recommendation 7.1.2. High Priority. It is recommended to the National PMU by December 2022 to develop a set of indicators for each project Activity (2-4 indicators for each Activity) and define their end of the project targets consistent with the project Output targets. In this way the National and State PMUs will have clear understanding how each project Activity contributes to the project Outputs. It is recommended to the National PMU to have the Activity indicators in place by December 2022.

7.2. Effectiveness, Efficiency, and Progress towards Results

Conclusion 7.2.1. Delivery of the project Outputs to achieve the expected Outcomes is extremely delayed and need to be improved. However, given India’s previous reach experience in coastal ecosystem restoration and development of adaptation livelihoods, the project can be put on track to deliver the Output targets with some suggested adjustments to increase the project efficiency and effectiveness. The key barriers to move the project forward were identified as the following:

- Significant delay to establish and operationalize project management structure due to COVID-19 pandemic and lack of previous experience of GoI with GCF project management (this is fist GCF project in India);
- COVID-19 pandemic and associated restrictions that had very significant negative impact on the project implementation at national, state, and landscape levels in 2020-202;
- Delays to disburse to and use project funds by the target States.

Recommendation 7.2.1. High Priority. The National PMU and UNDP should consider a request to the GCF for the project extension for **at least 2 additional years** (until 2027) without increasing the project budget. Without additional 2 years it will be absolutely impossible to achieve the project targets under all three Outputs that are currently not on the target to be achieved by 2025. The key reason for extension is the extremely severe COVID-19 pandemic and restrictions in India in 2020 and 2021, so two years were practically fully lost for the project implementation. Ideally, if the idea of extension supported by GoI and UNDP, the extension request should be submitted to GCF by December 2022.

Recommendation 7.2.2. High Priority. The National PMU with input of State PMUs should develop the multi-year project work plan until 2025 (or until 2027 if the project extension is granted) and downscale it to the project landscapes. So, each project landscape will have targets for the project Activities and Outputs and budget estimates to deliver it that will sum up to the entire project Output and Activity targets and the entire project budget. The multi-year work plan should ideally indicate the project sites and target communities and partners who will deliver project Activities in the landscapes. The multi-year plan should be produced by December 2022, agreed with UNDP CO, and submitted for review and approval to the PSC.

At the beginning of the last project quarter each year UNDP CO should provide clear requirements/checklist to the National and State PMUs on annual and quarterly planning and reporting, including financial, based on analysis of previous issues in the Quarterly Reports, APRs, and AWP. By December 2022 UNDP should provide a training session to the National and State PMUs on the planning and reporting standards focusing on issues in previous Quarterly Reports, AWP and APRs that slow down the process of their approval and quarterly funds transfers to National and State PMUs⁸³.

Two months before the end of each project year the National PMU should produce an AWP for next year based on the input of the State PMUs in full accordance with UNDP CO requirements. The State PMUs should use one approved template for their AWP. Each AWP should be downscaled to the landscape level similar to the multi-year project plan, so each landscape will have a plan for delivery of the project Activities and clear annual budget for the project implementation. The AWP should clearly show what activities will be implemented in specific sites and communities, who will deliver the activities and when they will be delivered with specific expected results. The annual work planning should involve consultations with the project districts and local communities that are currently not involved in the project with full capacity. Ideally it has to be decided at the planning stage what organizations will be involved in the implementation of the project activities through direct contracting as partners and what budget will be assigned for each partner. Each involved partner in the AWP should be approved by the State and National PSCs during review of the AWP to allow direct contracting (it will save enormous time as the PMUs will avoid long competitive contracting process). Each AWP should have detailed budget notes explaining all project expenditures. Annual procurement plan should be developed along with AWP and contain enough details to allow effective procurement. AWP and procurement plans should be reviewed and cleared by UNDP CO right after their development.

At least one month before the end of each project year the National PMU should organize a National PSC meeting and approve AWP cleared by UNDP CO. Approval of AWP by the National PSC is absolutely critical in accordance with UNDP and GCF standards. Right after approval by the National PSC UNDP CO should submit the AWP to UNDP GSSU for review and clearance with expectation to receive funds form GSSU in 15 days after beginning of each project year. In 15 days after receiving the funds form GSSU, UNDP CO should transfer the funds to the National and State PMUs in accordance to their requests for funding. All quarterly project funds disbursement should take no more than 15 days form beginning of each

⁸³ First orientation session was provided to the National and State PMU by the RTA in September 2022

quarter to allow effective project implementation without delays. All delays in this sequence should be addressed immediately by the National PMU and UNDP CO; all the steps of the process should be strictly controlled by the National Project Coordinator.

Recommendation 7.2.3. High Priority. To fast-track delivery of the project activities in 2022-2025 (or 2027 if the extension approved) the State PMUs should fully involve working potential of NGOs (Output 2) and local communities (Output 1) starting fourth quarter of 2022. For that the National and State PMUs should update the project Stakeholder Engagement Plan, including Stakeholder Analysis for the project landscapes. Local communities should be involved in both ecosystem restoration (through currently practiced by the States cash for work approach) and co-management. This is absolutely critical for sustainability of the Output 1 results. A village-level institution such as Mangroves, or Seagrass, or Coral Reef Co-management Committee should be formed in the participating villages. The structure, roles and responsibilities and functioning of these committees can be similar to village-level institutions advocated in the JFM guidelines. The process followed in JFM should also be followed in the establishment and day-to-day functioning of these committees.

Recommendation 7.2.4. Medium Priority. For delivery of the Output 1 the IE team suggests a specific set of the following recommendations:

- See Recommendation 7.1.1. on restoration of coral reefs and salt marshes;
- For the Activity 1.1. Ecological and Social Vulnerability Assessment, NCSCM should take in account the coastal vulnerability assessment conducted by the Indian National Centre for Ocean Information (INCOIS). Thus, NCSCM can conduct a socio-ecological vulnerability assessment, which includes physical, geological, social and economic factors. Since Socio-ecological analysis at the state level would take a lot of time, NCSCM can focus on assessing the socio-ecological VA of the coastal districts, which is more relevant and what could be possible in a short period of time. NCSCM can prepare district-level socio-ecological vulnerability maps at a finer scale of 1:25,000; prepare socio-ecological vulnerability maps at the targeted landscape level at 1:5000 scales so that it can be used immediately for landscape-level planning; and ensure that both district and landscape level socio-ecological maps can be made available in the public domain. This Activity was planned as the basis for ecosystem restoration and adaptation livelihood activities, however, given the delay to deliver VA, the results of this activity are likely to be useful for other projects, but not for this GCF project that is currently apply “no regret” approach for implementation of ecosystem restoration and livelihood activities;
- The Adaptation, Livelihoods and Ecosystems Planning Tool (ALiVE), developed by the International Institute of Sustainable Development (IISD), can be used as a model to develop the proposed Decision-Support Tool (Activity 1.1). The National PMU can develop partnership with NCSCM and IISD to develop the tool and mobile-based app;
- Ecosystem restoration guidelines (Activity 1.2) should be science-based and community-centred. This task can be assigned to institutions that have long-term practical experiences in the restoration of the above-mentioned ecosystems. Alternatively, domain experts can be identified, and they may be assigned to prepare the guidelines;
- The community ecosystem co-management structures in the project landscapes should be established with equal representation to community and government agencies. The community representatives can be selected from progressive farmers, local fisher leaders, leaders from women groups and women movements, local environmentalists, local NGOs, etc. For better results, the co-management structure may be led by a community representative of high caliber rather than an official of the government. The co-management structure should function as an agency to align

project interventions into climate change adaptation, fine-tune project approaches and operations and monitor the progress;

- Development of the Landscape Integrated Management Plans (IMPs) should ideally take the following approach (Community Landscape Co-management Structure should be involved in the preparation of the IMP from the beginning): (1) Assessment of changes in the following in the targeted landscapes in the last 20 years, including changes in land use and land cover, extent of various ecosystems and sub-ecosystems within the landscape, hydrology, biodiversity, ecosystem services, ecosystem dependent livelihood, drivers of change. The above assessment can be conducted by hiring suitable technical institutions and also through multistakeholder consultations. After this, the following steps can be followed: (a) participatory appraisal with communities to reflect their views, rights and capacities to support integrated management; (b) evaluation of sectoral plans and management practices, and identification of interlinkages and coordination needs for integrated management; (c) recommending management planning framework for conservation and restoration and wise use; (d) estimation of financial resources required for integrated management; (e) recommending an effective institutional mechanism for management plan implementation; (f) designing an effective monitoring and evaluation framework. The project can use an example of IMP developed by GIZ for Bhitarkanika landscape in 2022;
- Mangrove restoration process in Maharashtra: in the mangrove sites visited many natural tidal canals are present within the site selected for restoration. However, these canals are silted up in many places and as a result, tidal flow is limited through these canals. If these natural canals are desilted more tidal water will flush the mangrove site, which in turn, will aid in natural and or artificial regeneration in the degraded areas. This technique is being followed in the Bhitarkanika landscape and State PMU staff and community members from Maharashtra can visit the Bhitarkanika and learn the technique. Such cross-learning is important. Regenerating mangroves may also help in covering more area of mangroves in restoration and this will help Maharashtra to achieve its mangrove restoration targets. Mangrove restoration and sustenance of restored mangroves are possible only if the local community, who directly and indirectly benefit from mangroves, take active participation in the mangroves management. In this regard, the community mobilization and organization process of the Joint Forest Management may be followed in setting up the Mangrove Co-Management Committees. The committee should have a General Body in which one adult male and one adult female of the willing families can become members. The General Body can function as the decision-making body. The General Body can elect an Executive Committee, which can function as a planning and implementation body. Both the General Body and Executive Committee should be involved in mangrove restoration from the beginning, right from identifying mangroves areas for restoration, identifying causes of degradation, planning and implementing interventions to remove such causes, species selection, planting, monitoring and evaluating the results. The above-mentioned process is successfully followed in mangrove restoration and management in Tamil Nadu and Andhra Pradesh. An exposure visit can be organized for the State PMU staff and community leaders and members to visit the successful community-based mangrove restoration projects in Tamil Nadu and Andhra Pradesh for learning and replication;
- Mangrove restoration process in Odisha: all the existing Eco-development Committees (EDCs) around the Bhitarkanika mangroves should be reactivated by re-electing leaders and the Executive Committee members. Secondly, these committees should be involved in all the activities of mangrove restoration and conservation, starting from the identification of areas for restoration, identifying causes of degradation, planning and implementing methods of restoration (fish-bone canal method, deepening and rejuvenating existing natural canals etc.), species selection, planting,

monitoring and evaluating the results. The Committee should also be informed of the fund allocated for the restoration of one ha of mangroves, and the successful JFM model indicates the EDCs are allowed to handle the fund. This approach should be followed in all the landscapes where restoration activities are planned;

- Watershed restoration activities: the watershed restoration activities should be identified in such a way that enhances the ecological security of the downstream coastal ecosystems (mangroves, coral reefs, seagrass and salt marsh) and the livelihood security of the direct beneficiaries. For example, the mangrove ecosystem requires a continuous supply of sediment to perform its function as a barrier to rising sea levels due to climate change. If the watershed activities prevent sediment supply, the above-mentioned function of the mangroves will be jeopardized. Hence, the watershed restoration activities should be compatible with the ecological need of the downstream coastal ecosystems.
- Seagrass restoration is restricted to the Chilika-Ganjam landscape in the district of Ganjam in Odisha. The project document indicates two methods would be followed to restore seagrass: i) on-site seed planting and ii) transplanting seedlings or mature plants from the donor sites. The MTR mission had no opportunity to visit the site. But the discussion with the SPMU and NPMU staff indicated that the species present in the Chilika lake are of small size (very few cm in height), and thus, collecting and transplanting them manually is time-consuming and costly. Thus, it would be difficult to restore 85 ha (final project target) following the seed planting and transplantation method. Secondly, an increase in the area of seagrass beds in Chilika lake (from 2,000 ha in the year 2000⁸⁴ to 8,000 ha in 2014 and 15,200 ha in 2017⁸⁵) happened mainly due to creating suitable environmental conditions by connecting the Chilika lake and the sea by establishing a new canal (mouth). The removal of shrimp farms, which encroached on the areas which are suitable for seagrass colonization, is another important reason for the rapid increase in the seagrass cover in Chilika lake.

In the light of the above discussion, the SPMU may follow the process advocated in the UNEP guidelines on the restoration seagrass ecosystem⁸⁶ may be followed:

- (1) Prevent ongoing loss and reverse the degradation of seagrasses by addressing the drivers of decline (encroachment by shrimp farms, operation of mechanized boats in the seagrass bed areas etc.)
- (2) Assist natural regeneration (stabilize the substrate on which seagrass grows, trap new recruits of seedlings and facilitate the successful establishment of those seedlings, restoration of tidal exchange etc.)
- (3) Identify and overcome seagrass recruitment bottlenecks.
- (4) Active restoration by planting.

Before going into the above-mentioned actions, the process suggested in the Feasibility Study may be adopted for successful seagrass restoration:

- (1) identify interventions goals regarding seagrass coverage, species composition and ecological function of restored seagrass ecosystems;
- (2) co-ordinate permitting processes to reduce delays in the review and approval process;

⁸⁴ Priyadarsini Pati et al (2014). Studies on Seagrasses in relation to some Environmental variables from Chilika Lagoon, Odisha, India. International Research Journal of Environment Sciences Vol. 3(11), 92-101.

⁸⁵ Chilika Development Authority (2017). Chilika Lake: Ecosystem Health Card Report 2017-2018.

⁸⁶ UNEP (2020). UNEP Guidelines for Seagrass Ecosystem Restoration in the Western Indian Ocean Region

- (3) preserve genetic diversity – choose transplant stock from a variety of widely-distributed seagrass ecosystems;
- (4) undertake surveys and site selection to ensure that existing environmental conditions favour seagrass restoration
- (5) develop baseline maps as part of the fine-scale assessment that is recommended during the first phase of implementation;
- (6) implement monitoring programmes that can be incorporated into the decision support tool;
- (7) reduce human impacts on seagrass ecosystems and create connectivity and protect multiple seagrass communities;
- (8) design marine protected area networks which include other adjacent habitat types; and
- (9) raise public awareness of the value and threats to seagrass ecosystems

Considering all these, the SPMU can decide on a) how much area can be restored by on-site seed planting and transplanting seedlings or mature plants and b) how much area can be restored through facilitating natural regeneration in degraded seagrass beds. Restoration of seagrass should be taken up only with the active and genuine participation of the community. A village-level institution such as Seagrass Co-management Committee should be formed in the participating villages. The structure, roles and responsibilities and functioning of these committees can be similar to village-level institutions advocated in the JFM guidelines. The process followed in JFM should also be followed in the establishment and day-to-day functioning of these committees.

Recommendation 7.2.5. Medium Priority. For delivery of the Output 2 the IE team suggests a specific set of the following recommendations:

- Development of community capacity in climate-smart agriculture and adaptation livelihood can be a long and repetitive process requiring much more investments than was originally planned as some of the livelihood options may fail and others require specific capacity building to ensure sustainability. Communities should be trained not only on the livelihood option, on a basic financial management and encouraged to save part of their income from provided livelihood options for maintenance and development. Cooperation with private sector at district level should be considered to develop and support effective value chains for alternatives provided to local communities;
- Each adaptation livelihood option developed by the project should have clear justification how it contributes to the climate adaptation, for example, through diversification of income sources, climate resilient approach, or ecosystem-based sustainable income generation. The project can develop appropriate knowledge products for adaptation livelihood strategies, so local communities will clearly understand why the project introduce new livelihood options;
- While delivery of the adaptation livelihood options to local communities, the project should take in account if well established and available markets exists for the suggested options. That can be done through simple market analysis for selected adaptation options. The IE team recommends the project to avoid exotic livelihood options without existing markets in the target States because they can be unsustainable;
- The project team should not be fixed only on the adaptation livelihood options mentioned in the GCF prodoc. There is a demand from the communities in the project landscapes to include other adaptation livelihoods activities in the project, such as horticulture, mushroom cultivation, climate adaptive paddy seeds varieties, Integrated Farming System model, sea bass farming, ornamental fishery, fresh water scampi culture, crab fattening and other activities for enhancement of income

sources of the communities. The project team should conduct participatory assessment of livelihoods options in the landscapes and apply the options that contribute to local adaptation and have markets even if the options are not mentioned in the project document;

- The GCF funds for the Output 2 (Adaptation Livelihoods) are mainly on stakeholder engagement, capacity building and technical assistance, whereas cost of equipment's and infrastructure is expected from the co-finance. Key Output 2 activities are budgeted as Contractual Services (Organizations) that allow a lot of flexibility on the expenditures. So, some funds under the Output 2 from GCF budget can be allocated for procurement of critical inputs for the proposed livelihoods option (like equipment, seeds, simple construction) if the project team does not need all the funds for capacity building activities (e.g., trainings, meetings, exchange visits);
- The IE team recommend the project to assist established adaptation units in development of simple business plans that address the business development for the nearest 5 years and potential risks, both climate and non-climate. That will increase sustainability of the options provided;
- As additional adaptation option the IE team recommends the project to explore climate hazard insurance mechanisms provided in India. Trainings for coastal communities on climate hazard insurance can encourage them to use this mechanism for adaptation and sustainability of livelihood they develop;
- Currently the project has largest number of beneficiaries under SRI (58% of all beneficiaries). Farming communities have their land and can adapt using local knowledge or scientific methods to change crop variety or cropping methods and patterns to adapt to climate change. However, fishing communities depend directly on the natural resources and usually do not have land holdings. This makes fishing communities far more vulnerable to climate change as compared to other coastal communities. So, the IE team recommends the State PMUs to involve more fishing communities in adaptation livelihood options under the Output 2;
- Project partnerships with State Rural Livelihood Mission (SRLM) Schemes in the target States should be developed to ensure continuous support and sustainability of the adaptation livelihood options provided by the project in the long-term.

Recommendation 7.2.6. Medium Priority. For delivery of the Output 3 the IE team suggests the following recommendation:

- Establish the National Coastal Mission (NCM) by December 2022 as the key mechanism for implementation of the Output 3 activities. NCM can build strong cooperation with the National Mission on Strategic Knowledge for Climate Change (NMSKCC) under the Department of Science & Technology, Ministry of Science & Technology to deliver the activities.

7.3. Project Implementation and Adaptive Management

Conclusion 7.3.1. The project has weak and incomplete management and coordination arrangements. The incomplete project management structure does not allow effective delivery of the project Activities and Outputs.

See Recommendations 7.2.1-7.2.5. Additional recommendations are provided below:

Recommendation 7.3.1. High Priority. By October 2022 the project should complete and fully operationalize the National PMU as the key-stone mechanism for the project management and coordination

of the State activities. The National PMU will be responsible for all project interactions with MoEFCC, UNDP CO, and State Governments, and organization of the regular National PSC meetings for approval of the project AWP and APRs. By October 2022 the project should establish and operationalize Andhra Pradesh PMU and complete Maharashtra and Odisha State PMUs.

Recommendation 7.3.2. High Priority. By November 2022 UNDP CO should have discussion with the UNDP Bangkok Regional Hub and UNDP GSSU to find more efficient way of hiring National and State PMU staff that takes no more than 2 months total. Current 4-5 months deployed for hiring PMU staff are not supportive for the project effective management.

Recommendation 7.3.3. High Priority. UNDP CO should consider 6 month financial tranches to the National and State PMUs to allow them more flexibility to implement the project activities and use funds. However, national and State PMUs should still provide quarterly technical and financial reports. Currently 6 month financial tranches with quarterly reporting are used in the UNODP-UNODC Agreement and the UNDP/GEF/USAID Ports Project managed by the UNDP Istanbul Regional Hub. It is preferable to switch to 6 months tranches starting the first quarter of 2023 (if possible).

Recommendation 7.3.4. High Priority. MoEFCC by October 2022 should fully operationalize the National PSC that should approve all project AWP and APRs. The structure of the National PSC can be adjusted to allow regular and productive meetings (at least twice a year) of this project coordination body.

Recommendation 7.3.5. High Priority. Similarly to the project planning, project annual and quarterly reporting should be more detailed with explanation what was achieved in each of the project landscape and detailed description of the project expenses against each activity⁸⁷. All project unexpected results and failures should be reflected in the reports along with successful practices. Also the reports should clearly reflect number of women and men as well as number of SC/ST representatives involved in the project implementation under different Activities.

Recommendation 7.3.6. High Priority. To effectively fast-track the project implementation it is recommended that National and State PMUs employees work full time for the project in 2021-2025 (or until 2027). They should not be assigned with other tasks at MoEFCC or State Governments not directly related to the project. The project management (especially, a crisis management as the case for this project) is a full time job and should not be mixed with operational management of the government agencies.

Recommendation 7.3.7. High Priority. The National and State PMUs should organize quarterly field monitoring trips to the project sites starting the fourth quarter 2022. Output 2 requires even more intensive monitoring to timely detect problems with provided livelihood options and implement corrective measures. Project M&E Plans should be developed for the National and State PMUs by December 2022 and updated annually.

Recommendation 7.3.8. High Priority. Starting the fourth quarter of 2022 the National and State PMUs should organize quarterly lessons learning sessions to discuss what works, what do not work, and why. The project should pay more attention to technical lessons (from direct delivery of Output 1-3) to ensure the team does not make same mistakes again or take full advantage of successful practices. The lessons should be described in sufficient details to ensure their efficient replication (in case of best practices) or avoidance (in case of negative experience). The project lessons should be reported in quarterly report (a good practice

⁸⁷ The IE team recommends to attach an annex to the main report with a table to demonstrate a progress against Activity targets for each project district and another annex (in Excel) to show project expenses by districts against the Activities.

used by many UNDP/GEF projects). The project should consider a publication with the project lessons and best practices to ensure that they are used and replicated (or avoided) by other projects and programs in India and abroad.

7.4. Gender Equity

Conclusion 7.4.1. Current level of the project monitoring of environmental and social risk, including gender-related risks, is non-existent; involvement of women and SC/ST representatives in the project activities is very low.

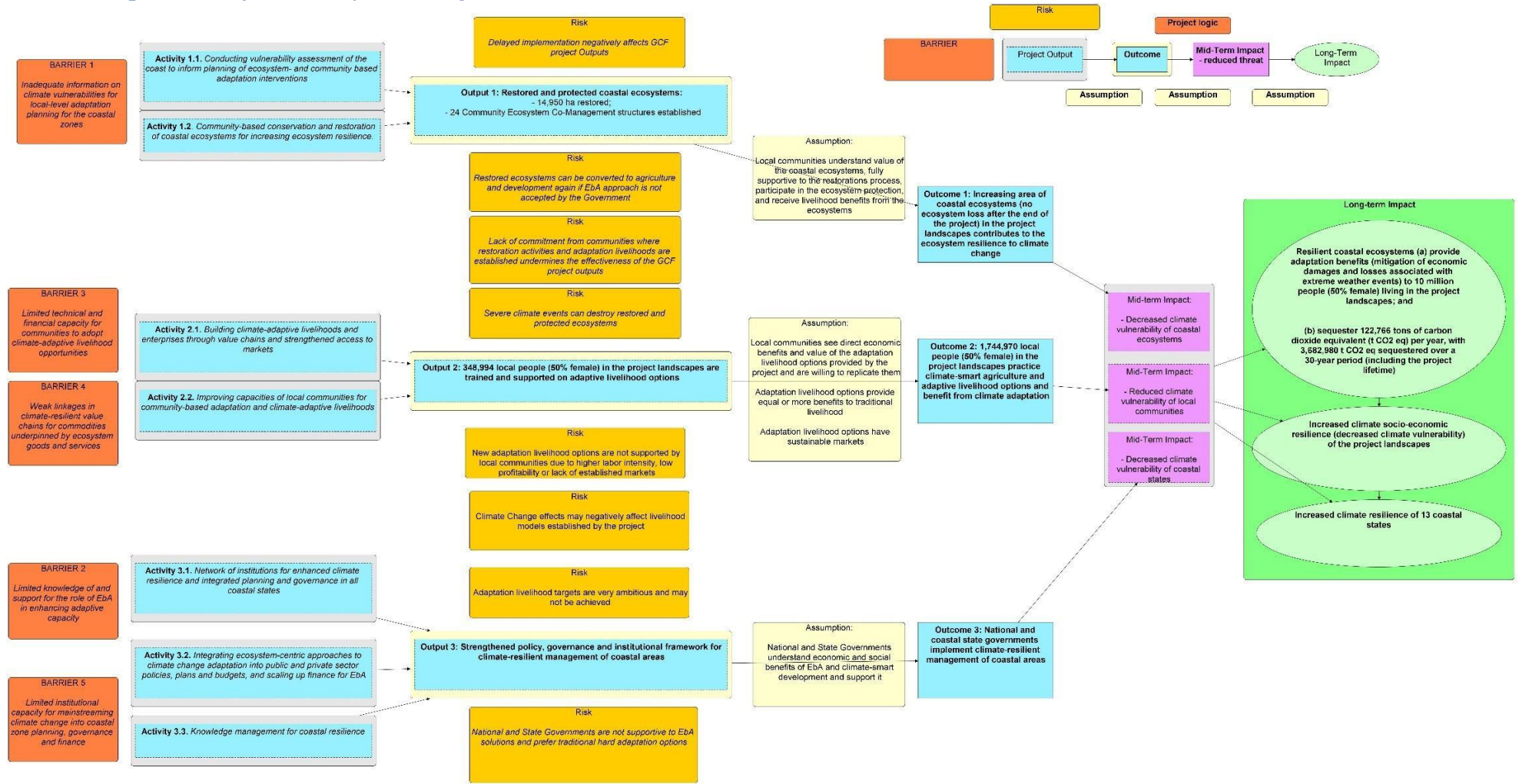
Recommendation 7.4.1. High Priority. National PMU should organize the Environmental and Social Impact Assessment (ESIA) in the project landscapes and produce the Environmental and Social Management Plan (ESMP) by March 2023 to guide the project implementation. Relevant funding should be allocated from the project budget for ESMP implementation. Additionally, UNDP should provide a special training to the National and State PMU on UNDP SESP by December 2022.

Recommendation 7.4.2. High Priority. National and State PMUs should produce Gender Mainstreaming Plans by March 2023, and review them and update annually. Project SESP should be reviewed and updated quarterly at national and State levels. The PMU should allocate a budget for specific gender mainstreaming activities, especially under Output 2, to ensure that women, youth, poor and disabled people, SC/ST can fully participate and benefit from the project activities and livelihood options provided by the project. National PMU should provide annual trainings and refreshers on gender mainstreaming and social inclusion for State PMUs;

Recommendation 7.4.3. High Priority. The National and State PMUs by December 2022 should develop and operationalize GRM in the project States. Local women and other vulnerable groups (SC/ST) should be aware of the GRM and know how to submit grievances. The GRM should be connected to the State and National PSC in accordance with UNDP requirements, not to the PMUs.

VIII. Annexes

Annex 1. Updated Project Theory of Change



Annex 2. List of project stakeholders for the IE mission

Stakeholder	Mandate/functions/activities	Role in the GCF project implementation and relevant project Outputs and Activities	Planned Interviewees	Phone/Email
National PMU	GCF project management at national level	Overall GCF project day to day management, monitoring, and reporting	Mr. Vasudevan Narayan, National Project Coordinator	Expected joining date mid August 2022 8879085704 vasuiist@gmail.com
			Mr. Murugan Arumugan Nadar, Marine and Mangrove Specialist	8220211770 arumugam.murugan@undp.org
			Ms. Anushika Bose, Environment and Social Safeguards Officer	9582677000 anushika.bose@undp.org
			Mr. Sahil Sharma, Communication and Knowledge Management Specialist	9871444038 sahil.sharma@undp.org
			Mr. Jyotiraj Patra, Climate Change and Adaptation Specialist	9178201705 Jyotiraj.patra@undp.org
			VACANT, Monitoring and Evaluation Officer	Submitted for readvertise
			VACANT, Finance and Administrative Officer	Submitted for readvertise
			Nupur Sharma, Project Associate Admin & Finance	9891533270 nupur.sharma@undp.org

			Suman Singh, Former Technical Consultant	9811435055 ssingh06@gmail.com
			Naveen Devnani, Former Operations Officer	9811111882 devnaninaveen@gmail.com
UNDP Country Office		UNDP provides a three-tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels; Member of the National PSC; GCF Accredited Entity for the project	Aishath Azza, Regional Technical Specialist Climate Change Adaptation	aishath.azza@undp.org
			Pensiri Sattapan, Climate Change Portfolio and Programme Analyst	pensiri.sattapan@undp.org
			Dr. Ruchi Pant, Programme Manager - E&R Unit	9810556540 ruchi.pant@undp.org
			Dr. Preeti Soni, Former Chief - CCR&E Unit	9910161881
			Pooja Verma Technical officer (MIS)	9718891452 Pooja.verma@undp.org
			Ridhima Gupta, Programme Associate - CCR&E Unit	9873969397 ridhima.gupta@undp.org
			Urjaswi Sondhi, Project Associate (National UNV)	98718089691 urjaswi.sondhi@undp.org
			Andhra Pradesh State PMU	GCF project management at the state level

Maharashtra State PMU	GCF project management at the state level	GCF project day to day management, monitoring, and reporting in Maharashtra State	Vikram Jalindar Yadav, Socio Economic and Livelihood & Associate	8208166013 vikram.yadav@undp.org
			Jaya Pravin Kshirsagar, Project Associate	9321016417 jaya.kshirsagar@undp.org
			Dr. Aeshita Mukherjee Wilske, Former State Project Manager - MH	9978691179
Maharashtra District PMU	GCF project management at the district level	GCF project day to day management, monitoring, and reporting in their respective districts	Pratik Prakash Tambe, District Coordination Officer - Palghar	9579764604 pratik.tambe@undp.org
			Dashrath D. Sirsat, District Coordination Officer - Raigad	8181086464 dashrath.sirsat@undp.org
			Rohit D. Sawant, District Coordination Officer - Sindhudurg	9403980417 rohit.sawant@undp.org
Odisha State PMU	GCF project management at the state level	GCF project day to day management, monitoring, and reporting in Maharashtra State	Rajat Kumar Choudhury, State Project Manager	7978597554 rajat.choudhury@undp.org
			Dillip Kumar Mahapatra, Socio-Economic and Livelihood Associate	8763196347 dillip.mahapatra@undp.org
			Parimita Routray, Communications, M&E Associate	9861072266 parimita.routray@undp.org
			Ranjan Bhoi, District Project Coordinator - Gajnam	9348228872 ranjan.bhoi@undp.org
			Debasis Pati, Technical Advisor	9437757741 debasis.pati08@gmail.com

			Rajendra Kumar Samal, Former State Project Associate - OD	7978604513 / 9437028939
National Project Steering Committee	Overall supervision and support to the GCF project management at national level	Review and approval of the project annual plans and reports. Advisory to the PMU	Ms. Richa Sharma	sricha@ias.nic.in
			The Additional Secretary (Climate Change), / Ministry of Environment, Forest and Climate Change. Chairperson	
			Shri Neelesh Kumar Shah	sahnk@cag.gov.in +91 11 20819220
			The Joint Secretary (Climate Change), Chairperson / Ministry of Environment, Forest and Climate Change.	
			Rajasree Ray, Economic Advisor/ NDA, National project Director	rajasree.ray@nic.in
			Dr. Subrata Bose, Scientist-F - Climate Change Division	9810734623 subrata.bose@nic.in

			Shri Sundeep Additional Project Director-SICOM	Sundeep.cpcb@nic.in
Andhra Pradesh State Project Steering Committee	Supervision and support to the GCF project management at the state level	Review and approval of the project annual plans and reports at the state level. Advisory to the state PMU	Cheif Secretary, GoAP	cs@ap.gov.in
			Secretary, EFS&T	Splcs_efst@ap.gov.in
			Secretary, Finance	Secy-rmfp- fin@ap.gov.in Peshi-pfs@ap.gov.in
			Prl.Cheif Conservator of Forest & Head of Forest Force	prlccf_hf_apfd@ap.gov.in
Maharashtra State Project Steering Committee	Supervision and support to the GCF project management at the state level	Review and approval of the project annual plans and reports at the state level. Advisory to the state PMU	Shri. Manukumar Srivastava Chief Secretary	(022) 22025042/22028762
			Shri. Om Prakash Gupta Additional Chief Secretary (Finance)	23095619
			Kalyaneshwar Bakshi Additional Chief Secretary (Planning)	22029496 psec.planning@mahar ashtra.gov.in
			Shri. Venugopal Reddy Additional Chief Secretary / Principal Secretary / Secretary (Forest)	
			Smt. Manisha Mhaisekar	

			Additional Chief Secretary / Principal Secretary / Secretary (Environment)	
Odisha State Project Steering Committee	Supervision and support to the GCF project management at the state level	Review and approval of the project annual plans and reports at the state level. Advisory to the state PMU		
Ministry of Environment, Forest, and Climate Change (MoEFCC)	MoEFCC is responsible for planning, promotion, co-ordination and overseeing the implementation of India's environmental and forestry policies and programmes. This ministry is the nodal ministry for all matters relating to climate change and coordinates implementation of the National Action Plan on Climate Change (2008). The MoEFCC also hosts the National Adaptation Fund, which provides resources to the state governments for adaptation actions, and serves as the nodal agency in the country for the UN agencies and programmes pertaining to environment and climate change.	Implementing Partner for this project and Chairperson of the National Project Steering Committee Project Co-financing	Rajasree Ray, Economic Advisor/ NDA, National project Director	rajasree.ray@nic.in
			Dr. Subrata Bose, Scientist-F - Climate Change Division	9810734623 subrata.bose@nic.in
The National Centre for Sustainable Coastal	The NCSCM helps implement the Coastal Regulation Zone Notification 2011, and developed national guidelines for Integrated Coastal Zone Management. It has	Member of the National Project Steering Committee Technical project support	Dr. Ramesh Ramachandran, Director of National Centre for Sustainable Coastal Management	director@ncscm.res.in rramesh@ncscm.res.in

Management (NCSCM)	a key role in the national Coastal Mission under the NAPCC (2008), and has conducted relevant research studies on shoreline change assessment, and mapping ecologically sensitive areas.		Dr. Purvaja Ramachandran, Scientist G and FTR division chair	purvaja@ncscm.res.in
			Dr. Deepak Samuel, Scientist E	deepak@ncscm.res.in
Society of Integrated Coastal Management (SICOM)	<p>SICOM hosts a project management unit for implementing Phase II of the World Bank-assisted Integrated Coastal Zone Management (ICZM) project.</p> <p>Has been established under the aegis of the Ministry of Environment, Forests and Climate change, Government of India with a vision for vibrant, healthy and resilient Coastal and Marine Environment for continuous and enhanced outflow of benefits to the Country and the Coastal Community.</p>	Member of the National Project Steering Committee	Shri Sundeep Additional Project Director-SICOM	Sundeep.cpcb@nic.in
Environment, Forests, Science and Technology Department in the State of Andhra Pradesh		Responsible Party Project Co-financing	Mr. P.V Chalapati Rao, Special Secretary, and SPM, State Government of Andhra Pradesh	chalapathipasala@gmail.com
Revenue and Forest		Responsible Party	Mr. Virendra Tiwari, IFS, APCCF, Mangrove Cell –	9833316795 022-22694984 / 85

Department in the state of Maharashtra		Project Co-financing	Mumbai / State Project Director	virendra_t@hotmail.com
Forest and Environment Department in the state of Odisha		Responsible Party Project Co-financing	Mr. Susanta Nanda, IFS, Addnl. PCCF / State Project Director	0674 – 2552311 susantaifs@gmail.com
CSIR - National Institute of Oceanography, GOA	An autonomous research organization in India to undertake scientific research and studies of special oceanographic features of the Indian ocean	Agreement signed with National Institute of Oceanography for ‘Baseline study for Assessing the biodiversity and biophysical status of coral reefs along the Maharashtra coastline: prospects for reef restoration.’ The goal of this study is to identify, and record stressed coral zones, highlight the factors that are stressing the ecosystem and to work towards reducing the stressors	Dr. B. Manikandan, Scientist and Principal Investigator	9049696056 manikandan@nio.org
Tare Leading Edge Pvt. Ltd.	Taru Leading Edge is a leading development advisory and think tank delivering innovative transformative solutions and insights in the development space. Incorporated as a private limited company, Taru's mission is to `bridge the Science-Institutions-Society interface with a core agenda of providing	Activity 1.1. Conducting Vulnerability Assessment of India’s coastline and Development of a Decision Support Tool for Adaptation Planning with particular focus on Gender	Chehak Ahuja, Senior Consultant Social Transformation	9540715873 cahuja@taru.co.in
			Binu Mathew, Chief Operating Officer	9884353648, bmathew@taru.org
			Dr. Sai Bhaskar Reddy Nakka, Sr. V.P. - Disaster and Climate Resilience	9246352018 / 9676799191 sreddy@taru.co.in
			Priyesh Salunke	9920024596 psalunke@taru.co.in

	transformative solutions to the development challenges'. Established in 1996 by eminent development professionals, it caters to a diverse range of bilateral and multi-lateral agencies, government departments, corporate and development organizations through research, technology, solution innovations and implementation support.	Stakeholder and Potential Partnership Analysis for the GCF project		
Dusty Foot	Communications agency that has been helping us to develop a communications and social media strategy	Development of a communications and social media strategy for the project	Imrana Khan	imranarkhan@gmail.com
			Rita Banerji	rita.banerji@gmail.com
			Udita Das	uditadas@gmail.com
International consultant for impact evaluation study	Individual consultant	The impact evaluation will be a thorough exercise, that is evidence-based, and that can inform achievement of project outcomes over the course of the project period. The Impact Evaluation specialist is expected to design the impact evaluation for the project as well as conduct the validation of the evaluation design through the analysis of baseline and end-line data based on a	Prof. Tauhidur Rahman	tauhidur.rahman4@gmail.com

		pilot. The baseline study for this evaluation shall be done by NCSCM with the support of the International IE specialist. An impact evaluation workshop will be conducted in August end.		
National Adaptation Fund (NAF)	There about seven ongoing projects under Adaptation funds, focusing various issues of climate change at coastal areas at particular state-level	Potential project partner Exchange of the lessons learned	Rajasree Ray, Economic Advisor/ NDA, National project Director	rajasree.ray@nic.in
National Coastal Mission (NCM)	Addresses impact of climate change on coastal and marine ecosystems, infrastructure, and communities in coastal areas through a combination of adaptation and mitigation measures	Key partner and direct beneficiary of the Output 3	No staff yet	N/A
Mangrove Co-Management Committees (MCMCs) in Maharashtra	Sustainable community co-management of mangroves in the state districts	Key project partners for Output 1	Cahul, Pratibha Pawar, President	8805855047
			Chunekoliwada, Bindita Baburao Patil, President	7020039137
			Bapale, Anusaya Gulmire, Secretary	9657210616
			Revdanda, Hariom Nagu Chogle, President	
			Bharadkhol, Baburao Vithal Chorge, President	8888987787
			Karivine, Sadanand Bandre, President	7020936198
			Shekhadi, Vivek Mendadkar, President	8850054337

			Dighi, Mr. Nilesh Sumada, President	8623043436
			Shirgaon, Mr. Prashant Naik, President	9322961134
			Kharekuran, Mr. Hemant Sankhe, President	9322950684
			Dapoli, Mr. Rohan Patil, President	9967457938
			Navghar, Mr. Prabhakar Thakur, President	87672 67351
			Edvan, Mr. Jagannath Vaze, President	9224635239
			Chinchani	9834865156
Local Communities in the project landscapes			These can be contacted through the District Coordination officers (in progress)	
Partner NGOs in the project landscapes		Key partners in delivery of the Outputs 1 and 2 in the project landscapes	None for Maharashtra, Andhra Pradesh, and Odisha yet	

Annex 3. IE field mission schedule

Date	PMU responsible person	District Landscape	Place	Time (in hours)	Activity
Maharashtra					
4 th to 5 th August 2022	Travel to Mumbai, Maharashtra, Project state on west coast of India				
06.08.2022	Vikram Yadav	Palghar Landscape	Saphale Range Office	8:00 am to 11:00 am	Travel from Mumbai to Khardi Village from Palghar Landscape
				11:00 am to 12:00 pm	Meeting with Range Forest Officer, District Coordinator, Project Associate (Fishery and Forestry)
			Khardi	12.00 pm to 02.00 pm	Visit to Mangrove restoration site
				02:00 pm to 03:00 pm	Travel to Navghar village, Palghar
			Navghar	03:00 pm to 06.00 pm	Interaction with beneficiaries of Ornamental Fish Unit at Navghar
				06:00 pm to 09:00 pm	Travel back to Mumbai
07.08.2022	Vikram Yadav	Alibagh Landscape		8:00 am to 11:00 am	Travel from Mumbai to Chaul Village from Alibagh Landscape
			Chaul	11.00 am to 01:00 pm	Meeting with the MCMC members Gram Panchayat leaders of Chaul village
			Navederbeli	02:00 pm to 03:00 pm	Visit to Navederbeli mangrove restoration site from the road
			Agarsure	04:00 pm to 06:00 pm	Visit to Agarsure mangrove restoration site
				06:00 pm to 09:00 pm	Travel back to Mumbai
08.08.2022	Vikram Yadav	Mumbai		08:30 am to 10:00 am	Travel to Mangrove Cell
			Mumbai Mangrove Cell	10:00am to 12:00 pm	Meeting with SPD and SPMU officials (Nodal officers of Fisheries and Agriculture Departments and Maharashtra Maritime Board)
			Mangrove Cell	12:00 pm to 01:00 pm	Meeting with Socio-economic and Livelihood Associate and Project Associate, UNDP

			Mantralaya (State Secretariat)	02: 30 pm to 03:30 pm	Meeting with Secretary, Maharashtra Forest Department	
Odisha						
06.08.2022	00.30 am Reached Bhubaneswar, Odisha, Project state on the east coast of India					
09.08.2022	Rajat Choudhury	Bhitarkanika landscape	Kendrapara	08:00 am to 10:00 am	Travel from Bhubaneswar to Rajnagar, Bhitarkanika Landscape	
			Kendrapara	10:00 am to 11:30 pm	Meeting with District Level Coordinator Committee headed by the District Collector	
			Dhandia	11:30 am to 1:00 pm	Visit to community-based mushroom unit	
			Padini	1:30 pm to 02:00 pm	Visit to community-based poultry	
			Nalitapatia Krushnagar Beat	3.00 pm to 4.30 pm	Mangrove plantation site in shrimp farms reclaimed from encroachment	
			Saliendrasarai Kantiakhai Beat	5.00 pm to 5.15 pm	Mangrove restoration site – fish bone canal method	
			Kanchira	5.20pm to 5.50 pm	Mangrove restoration site – fish bone canal method	
			Pravati	6.00 pm to 6.10 pm	Mangrove restoration site – through deepening existing natural canal	
			Pattaparai	6.30 pm to 6.40 pm	Mangrove restoration site – fish bone canal method	
					6.40 pm to 8.00 pm	Travel back to Bhitarkanika Guest House
				Bhitarkanika Guest House	8.00 pm to 9.30 pm	Presentation by the Divisional Forest Officer and Nodal officer of the project Video shows on Bhitarkanika mangroves Discussion
10.08.2022	Rajat Choudhury	Bhitarkanika	Dangmal	7.30 am to 8.30 am	Mangrove meta-nursery	
				8a:30 am to 12:00 pm	Travel from Bhitarkanika to Bhubaneswar	
	Rajat Choudhury	State Project Management Unit Bhubaneswar	Bhubaneswar	12:00 pm to 02:00 pm	Meeting with State Project Director, Divisional Forest Officers of Puri, Ganjam, Berhampur and Balasore in the presence of NPMU and SPMU staff	
	Rajat Choudhury	State Project Management Unit Bhubaneswar	Bhubaneswar	04:00 pm to 06:30 pm	Discussion with SPMU staff: State Project Manager, District Coordination Officer, GIS Specialist	

11.08.2022		1.00 pm Travel to New Delhi		
Date	PMU responsible person	Place	Time (in hours)	Activity
11.08.2022	Urjaswi Sondhi	National Project Office	2.00 pm to 3.30 pm	Meeting with National UNV Project Associate, GCF coastal project Project Associate Admin & Finance
			3.30 pm to 5.00 pm	Meeting with Programme Manager – E & R Unit
12 th August 2022	Urjaswi Sondhi	UNDP Office	09.45 am to 10.30 am	Meeting with Resident Representative, UNDP Head, Environment, Energy and Resilience, UNDP Programme Manager – E & R Unit, UNDP Technical Officer, MIS, UNDP
		Project Office	11.00 am to 12.30 pm	Meeting with Communication and Knowledge Management Specialist, NPMU
			12.30 pm to 2.00 pm	Meeting with Economic Advisor/ National Designated Authority, MoEFCC, Govt of India Programme Associate - CCR&E Unit, UNDP
			2.30 pm to 3.30 pm	Meeting with Climate Change and Adaptation Specialist, NPMU
		MoEFCC, Govt of India	4.00 pm to 4.30 pm	Meeting with Additional Secretary (Climate Change) National Project Director
		NPMU	4.30 pm to 5.00 pm	Meeting with Marine and Mangrove Specialist, NPMU
5.00 pm to 5.30 pm	Meeting with Project Associate Admin & Finance UNDP			

Annex 4. IE Evaluative Matrix

Evaluative questions	Indicators	Sources	Methodology
1. Project Strategy: To what extent is the project strategy robust and the best route towards expected results			
Project Design and Theory of Change			
Does the project incorporate lessons learned from similar projects in the project design?	6 point scale (UNDP-GEF directorate, 2014)	Prodoc PPG Team	Content analysis Semi-structured interviews
How many stakeholders were involved in the project development?	Number of people consulted 6 point scale (UNDP-GEF directorate, 2014)	List of stakeholders consulted during PPG phase Stakeholders	Content analysis Semi-structured interviews
Were local communities and vulnerable groups involved in the project development?	Yes/No Number of local people and vulnerable groups representatives participated in the project development 6 point scale (UNDP-GEF directorate, 2014)	List of stakeholders consulted during PPG phase Stakeholders	Content analysis Semi-structured interviews
Was the project based on adequate assessment of risks (both risks for the project implementation and sustainability and Social and Environmental risk the project can produce)?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc and CEO ER Stakeholders	Content analysis Semi-structured interviews
Is a set of project sites strategically selected?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Climate Vulnerability Index for Indian coast Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
Are Direct Threats (both climate and non-climate) addressed by the project adequate for wetlands, local communities, and selected project sites?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Climate Vulnerability Assessment for Indian Coast Stakeholders	Content analysis Semi-structured interviews
Are Indirect Threats and Barriers correctly identified and clear?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Climate Vulnerability Assessment for Indian Coast Stakeholders	Content analysis Semi-structured interviews
Does the project have clearly articulated and logical Theory of Change?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Result Framework, ToC diagram and description Stakeholders	Situation Analysis Theory of Change Analysis Semi-structured interviews
Do the project Objective and Outcome Indicators adequate and SMART?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Result Framework Stakeholders	Theory of Change Analysis Semi-structured interviews
Are project Outputs and Activities detailed and clear for implementation?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Description of project Activities and Outputs in Prodoc Stakeholders	Content analysis Semi-structured interviews
2. Relevance, Effectiveness and Efficiency: How the project is relevant to national, UNDP, and GCF priorities? How likely that the project will achieve its expected Outcomes and Impact? How efficient is the project management?			
Relevance			
How relevant is the project to country priorities in climate change adaptation and mitigation?	6 point scale (UNDP-GEF directorate, 2014)	National Climate Change Policy of India Stakeholders	Content analysis Semi-structured interviews
How relevant is the project to GCF priorities?	6 point scale (UNDP-GEF directorate, 2014)	GCF policy and requirements	Content analysis

Evaluative questions	Indicators	Sources	Methodology
How relevant is the project to UNDP priorities?	6 point scale (UNDP-GEF directorate, 2014)	UNDAF India, UNDP Climate Policy Stakeholders	Content analysis Semi-structured interviews
How relevant is the project strategies to address climate and non-climate threats to India coastal ecosystems and communities?	6 point scale (UNDP-GEF directorate, 2014)	Climate Vulnerability Assessment for Indian Coast, and National Climate Change Policy Stakeholders	Content analysis Semi-structured interviews
Effectiveness			
What is the probability that project strategies will achieve project Outcomes and Objectives during the project lifetime	6 point scale (UNDP-GEF directorate, 2014)	Prodoc, PRF, Project Annual Reports Stakeholders	Content analysis Semi-structured interviews
What are the project most impressive results?	Number and magnitude of the key results	Prodoc, PRF, Project Annual Reports Stakeholders	Content analysis Semi-structured interviews
What are the most significant project's shortcomings?	Number and magnitude of the key failures	Prodoc, PRF, Project Annual Reports Stakeholders	Content analysis Semi-structured interviews
Efficiency			
What are timeliness, quality and quantity in implementation of project Activities and delivery of planned Outputs?	6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Annual Performance Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
What are project activity costs in comparison with other similar projects?	6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Annual Performance Reports, Activity Reports	Content analysis

Evaluative questions	Indicators	Sources	Methodology
		Stakeholders	Semi-structured interviews
What is the level of capacity of PMU and key partners to implement the project?	6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Annual Performance Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
3. Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
What is Activity delivery by the project so far?	Percentage of each Activity delivery from expected by the Mid-Term	PRF, Project Implementation Reports, actual project products and services (government documents, publications, equipment, infrastructure, etc.) Stakeholders	Content analysis Semi-structured interviews Visits of the project sites
What is the project progress to achieve expected Outputs and Outcomes?	Output, Outcome and Objective Indicators 6 point scale (UNDP-GEF directorate, 2014)	PRF, Project Implementation Reports, Government Documents, Survey Reports, Stakeholders	Content analysis Semi-structured interviews Visits of the project sites
4. Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Management arrangements			
Is the existing project management structure the same as the structure suggested in the project documents?	Yes/No	Prodoc, Quarterly and Annual Reports Project Management Team	Comparative analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
Does the existing project management structure allow effective project implementation?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	PIRs, Quarterly and Annual Reports Project Management Team	Content analysis Semi-structured interviews
What is the level of support of project management team from UNDP CO?	Adequate/Non-adequate 6 point scale (UNDP-GEF directorate, 2014)	Quarterly and Annual Reports, Project Steering Committee meeting minutes Project Management Team and UNDP CO	Content analysis Semi-structured interviews
What is level of support of the project management from MoEFCC, project States, other government agencies, and local administrations?	Adequate/Non-adequate 6 point scale (UNDP-GEF directorate, 2014)	PIRs, Quarterly and Annual Report of the PMU, Project Steering Committee meeting minutes Project Management Team Members of the project Project Steering Committee, Government Agencies	Content analysis Semi-structured interviews
What is the level of support of the project management from the Project Steering Committee?	Adequate/Non-adequate 6 point scale (UNDP-GEF directorate, 2014)	Quarterly and Annual Reports, Project Steering Committee meeting minutes Project Management Team UNDP CO staff, Project Steering Committee members	Content analysis Semi-structured interviews
Work planning			
Are there any delays between start of the project and actual implementation? Reasons for delay?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Inception Report, Project Annual Reports Project Management Team, UNDP CO staff,	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
		Project Steering Committee members	
Does the project have a Work Plan for entire project lifetime? What is the quality of the plan?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Project Inception Report	Content analysis
Are project annual work plans present and detailed enough?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans	Content analysis
What is the quality of the PMU internal weekly/monthly planning?	6 point scale (UNDP-GEF directorate, 2014)	PMU internal work planning documents	Content analysis
Does the project practice Adaptive Management? If yes, how effective is it?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, PMU internal work plans, Annual and quarterly reports PMU staff	Content analysis Semi-structured interviews
What changes to the Project Results Framework and Theory of Change have been done so far as part of Adaptive Management	Key changes with justification	Annual Work Plans, PMU internal work plans, Annual and quarterly reports PMU staff	Content analysis Semi-structured interviews
Finance and Co-finance			
Is the quality of planning of the project annual budget adequate?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans	Content analysis
Is the level of the project financial management adequate to UNDP standards?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans, Annual project expenditures reports	Content analysis

Evaluative questions	Indicators	Sources	Methodology
What is the variance between planned and actual expenses by Outcomes and years?	Variance of the project expenditures (US\$, % of the planned expenditures) 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans, Annual project expenditures reports	Content analysis
Are project expenses to deliver project Outputs adequate and reasonable?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual project expenditures reports	Content analysis
Are annual project audit reports present?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual project audit reports	Content analysis
Are changes made in the project budget as a part of Adaptive Management adequate?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans, Annual project expenditures reports, Project Implementation Reports	Content analysis
What is the difference between planned and actual co-financing commitments?	Variance in planned and actual co-financing delivery (US\$, % of the planned co-financing) 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Co-Financing Letters, Project Implementation Reports	Content analysis Co-financing table and graphs
Coherence in climate finance delivery with other multilateral entities			
What is the level of project partnership and cooperation with other climate change adaptation projects and programs in India?	Total number of functional partnerships 6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is overall project impact and contribution to climate change adaptation in India in comparison with other projects and programs?	6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports PMU staff, UNDP CO, Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
M&E System			
Is the project M&E plan clear and relevant to the project Objective and Outcomes?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, project M&E plan	Content analysis
What is the difference between planned and actual expenses for the project M&E?	Variance in planed and actual expenses on M&E (US\$, % of the planned expenses) 6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Project Implementation Reports	Comparative analysis
What is consistency of the project M&E system with national SDGs, NDC and other national reporting systems?	6 point scale (UNDP-GEF directorate, 2014)	PRF, national SDGs, NDC and other national reporting systems PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is the frequency and quality of update of the project indicator values and data credibility?	6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports	Project Implementation Reports
Was M&E framework used for the project adaptive management?	Yes/No	Annual Work Plans, Project Implementation Reports PMU staff	Content analysis Semi-structured interviews
What number of stakeholder are participating in the project M&E so far?	Number of stakeholders participating in the project M&E	Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
How many of them are women?	Number of women (% of total stakeholder number)		
What is the quality of monitoring and management of the project risks	6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports, UNDP SESP, UNDP Risk Log	Content analysis

Evaluative questions	Indicators	Sources	Methodology
and Environmental and Social Safeguards risks?		PMU staff, Stakeholders	Semi-structured interviews
Stakeholder Engagement			
What is the quality of the project stakeholder engagement strategies and activities?	6 point scale (UNDP-GEF directorate, 2014)	Project Stakeholder Engagement Plan, Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
How many partners are involved in the project implementation so far? How many of them are women?	Number of organizations/experts/community members involved Number of women (% of total stakeholder number)	Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is the level of local and national government participation in the project implementation?	Low/Medium/High Total number of national and local agencies participating in the project	Project Implementation Reports PMU staff UNDP CO National and local government	Content analysis Semi-structured interviews
What is the level of participation of local communities and other groups in the project implementation?	Total number of local stakeholders directly involved in the project (% of women) Total number of direct project beneficiaries (% of women)	Project Implementation Reports, Activity Reports PMU staff National and local government	Content analysis Semi-structured interviews
Is the project Grievance Redress Mechanism present and functional?	Number of grievances managed by the GRM 6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports, GRM Reports PMU staff, Project Steering Committee, Local government, local communities	Content analysis Semi-structured interviews
Reporting			

Evaluative questions	Indicators	Sources	Methodology
What is the quality of the project Inception Report?	6 point scale (UNDP-GEF directorate, 2014)	Project Inception Report	Content analysis
What is the quality of the Project Implementation Reports and Quarterly Reports?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual and quarterly reports	Content analysis
What is the quality of personal reporting of PMU staff, Back to the Office/Mission Reports, and Activity/Event Reports?	6 point scale (UNDP-GEF directorate, 2014)	Personal reporting of PMU staff, Back to the Office/Mission Reports, and Activity/Event Reports	Content analysis
What is the quality of reporting of project adaptive management changes?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual and quarterly reports	Content analysis
Are project annual reports validated and approved by the Project Steering Committee?	Yes/No	PSC meetings minutes PMU Staff, Members of Project Steering Committee	Content analysis Semi-structured interviews
Communication			
Are mechanisms of the project communication with stakeholders established and functional?	Yes/No Number of mechanisms 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Project Publications, other communication materials PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Are mechanisms for receiving stakeholder feedback on the project implementation established and functional?	Yes/No Number of mechanisms 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Project Publications, other communication materials PMU Staff, Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
Does the project have functional outreach and awareness campaigns?	<p>Yes/No</p> <p>Number of campaigns/awareness activities</p> <p>6 point scale (UNDP-GEF directorate, 2014)</p>	<p>Annual and quarterly reports, Campaign/Awareness Activity reports, Project Publications, other communication materials</p> <p>PMU Staff, Stakeholders</p>	<p>Content analysis</p> <p>Semi-structured interviews</p>
5. Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Financial risks to sustainability			
What is likelihood that financial resources will be available to support the project Outputs and Outcomes after its completion?	<p>6 point scale (UNDP-GEF directorate, 2014)</p>	<p>Annual and quarterly reports, partnership agreements, government documents, UNDP Risk Log</p> <p>PMU Staff, Stakeholders</p>	<p>Content analysis</p> <p>Semi-structured interviews</p>
What is level of dependence of the Outputs and Outcome sustainability on external financial sources?	<p>6 point scale (UNDP-GEF directorate, 2014)</p>	<p>Annual and quarterly reports, partnership agreements, government documents, UNDP Risk Log, Final Reports and Terminal Evaluation Reports from other projects</p> <p>PMU Staff, Stakeholders</p>	<p>Content analysis</p> <p>Semi-structured interviews</p>
Has the project established mechanisms to ensure financial sustainability of the project Outcomes?	<p>Yes/No</p> <p>6 point scale (UNDP-GEF directorate, 2014)</p>	<p>Annual and quarterly reports, partnership agreements, government documents, UNDP Risk Log</p>	<p>Content analysis</p>

Evaluative questions	Indicators	Sources	Methodology
		PMU Staff, Stakeholders	Semi-structured interviews
Socio-economic risks to sustainability			
Are significant economic and social risks for the project Outcomes present?	Yes/No	Annual and quarterly reports, UNDP Risk Log, socio-economic assessment reports, SESP assessment, ESIA PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What is the level of stakeholder ownership on the project Outputs and Outcomes in terms of economic feasibility?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Feasibility assessment reports PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Are there mechanisms to sustain the project Outputs and Outcomes via stakeholder ownership?	Yes/No Number of mechanisms 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, partnership agreements, PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Institutional and governance risks to sustainability			
Are appropriate policies, legislation, and governance structures present to support project Outputs and Outcomes?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, government documents PMU Staff, Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
Is the capacity of institutional and governance structures to sustain the project Outputs and Outcomes sufficient?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual reports PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What is the role of the project in establishment of appropriate policy, legislation and capacity to sustain the project results?	Number of policy and legislation documents prepared for official approval Number of government officials and local people trained by the project 6 point scale (UNDP-GEF directorate, 2014)	Annual reports, policy and legislation documents; Training Reports PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Environmental risks to sustainability			
Are there severe environmental factors that can influence sustainability of the project Outputs and Outcomes?	Yes/No	Annual and quarterly reports, Environment assessment reports, SESP, UNDP Risk Log PMU Staff, Stakeholders	Content analysis Semi-structured interviews
How effective are the project strategies to address environmental risks to sustainability?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Environment assessment reports, SESP, UNDP Risk Log PMU Staff, Stakeholders	Content analysis Semi-structured interviews
6. Country Ownership: What is the level of ownership of the project results by its stakeholders?			
What is the level of involvement of government agencies and other key	6 point scale (UNDP-GEF directorate, 2014)	Stakeholder Engagement Plan, Project Annual Reports,	Content analysis

Evaluative questions	Indicators	Sources	Methodology
partners in the project development and implementation?		Stakeholder engagement activity reports PMU Staff, Stakeholders	Semi-structured interviews
What is the level of representativeness of the Project Steering Committees?	Number of organizations presented in the PSC 6 point scale (UNDP-GEF directorate, 2014)	PSC structure, minutes of PSC meetings PMU Staff, PSC members	Content analysis Semi-structured interviews
What is level of ownership and support of the project results by key government agencies, district administrations, and local communities?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual Reports, project agreements with government agencies and local communities PMU Staff, Stakeholders	Content analysis Semi-structured interviews
7. Gender Equity: What is the quality and magnitude of gender mainstreaming by the project?			
How many women were involved in the project development?	Number of women consulted 6 point scale (UNDP-GEF directorate, 2014)	List of stakeholders consulted during PPG phase Stakeholders	Content analysis Semi-structured interviews
What is the quality of the project Gender Mainstreaming Plan? Is it regularly reviewed by the PMU?	6 point scale (UNDP-GEF directorate, 2014)	Project Gender Mainstreaming Plan and its annual updates	Content analysis
Does the PRF have gender disaggregated indicators?	Yes/No Number of gender disaggregated indicators in PRF	PRF	Content analysis
What is the quality of monitoring and mitigation of the project gender related risks?	6 point scale (UNDP-GEF directorate, 2014)	Project Gender Mainstreaming Plan and its annual updates, SESP updates	Content analysis

Evaluative questions	Indicators	Sources	Methodology
		Stakeholders	Semi-structured interviews
What is level of women involvement in implementation of the project activities?	Number of women (and %) involved in the project implementation	Project Annual Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
What is the percentage of women among the project direct beneficiaries?	Number of women (and %) among direct project beneficiaries	Project Annual Reports, Activity Reports, Local Government Reports Stakeholders	Content analysis Semi-structured interviews
What is the gender ratio in the PMU and Project Steering Committee	Percentage of women in the PMU and Project Steering Committee	Structure of the PMU and PSC	Content analysis
8. Innovativeness: What innovative approaches are used/introduced by the project?			
What is the number and character of innovative approaches applied by the project?	Number and description of the project innovative approaches	Project Annual Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
9. Unexpected Results: What unexpected results (both positive and negative) have been produced by the project?			
What is the number, character, and key drivers of the project positive or neutral unexpected results?	Description of the project positive or neutral unexpected results	Project Annual and Quarterly Reports PMU staff and Stakeholders	Content analysis Semi-structured interviews
What is the number, character, and key drivers of the project negative unexpected results?	Description of the project negative unexpected results	Project Annual and Quarterly Reports PMU staff and Stakeholders	Content analysis Semi-structured interviews
What is the quality and timeliness of monitoring, management, and reporting of the project unexpected results?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual and Quarterly Reports, supportive documents PMU staff and Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
10. Replication and Scalability: How well the project lessons learned and best practices are replicated? What is the potential for scalability of the project results?			
Are lessons learned during the project implementation properly documented and shared with stakeholders and other projects?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Project Publications, other communication materials PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What number of the project best practices and lessons learned applied by other projects and programs in India and abroad?	Number of project lessons and best practices applied in India and abroad	Annual and quarterly reports, other projects publications, reports and communication materials Stakeholders, PMU staff	Content analysis Semi-structured interviews
What is potential applicability and scalability of the project best practices and lessons learned in India and abroad?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, other projects publications, reports and communication materials Stakeholders, PMU staff	Content analysis Semi-structured interviews

Annex 5. General Questionnaire for Stakeholder Interviews

Evaluation subject	Evaluation questions	Stakeholders
Output 1: Enhanced resilience of coastal and marine ecosystems and their services		
Activity Result 1.1: Conducting vulnerability assessment of the coast to inform planning of ecosystem- and community-based adaptation interventions in 13 coastal states		
Vulnerability Assessment	<ul style="list-style-type: none"> • Why was contract given to Taru Leading Edge Pvt Ltd to conduct VA studies withdrawn? • Will socio-ecological vulnerability be assessed or only physical vulnerability? • If socio-ecological vulnerability assessment, how it would be possible to do it for the entire coastal of India in a short period of time? 	NRO, WMC
Decision-Support Tool for adaptation planning at state and national levels	<ul style="list-style-type: none"> • What are the methods and processes going to be followed in developing a decision support tool? 	NRO, WMC, National PMU
Online platform and associated mobile app	<ul style="list-style-type: none"> • How stakeholders will be involved in the developing online platform and mobile app.? 	National PMU
Producing a national series of restoration guidelines- one booklet per ecosystem	<ul style="list-style-type: none"> • What is the content of the restoration guidelines? • Who will prepare these guidelines? • How experiences from NGOs will be incorporated in these guidelines? 	National PMU
Landscape level Co-management Structure established	<ul style="list-style-type: none"> • Have established landscape level co-management structures? • What are the expected functions of these structures? 	State PMUs, Communities
Landscape level Integrated Management Plan prepared	<ul style="list-style-type: none"> • What is the content of the Integrated management plan? • Who will prepare these plans? • How experiences from NGOs will be incorporated in these plans? 	State PMUs
Activity 1.2: Community-based conservation and restoration of coastal ecosystems for increasing ecosystem resilience		
General	<ul style="list-style-type: none"> • Was village community involved in consultations during the project development? If so, how?; • Why project implementation is slow? How fast track implementation to make the project more effective? 	Discussion with State Project Director, UNDP Project Manager,

	<ul style="list-style-type: none"> • Was community experiencing any impact of climate change during project development? • How community is engaged with the project? • Are there any village level institutions for planning, implementing and monitoring project activities? • If yes, what is the structure, roles and responsibilities and functions of the village level institutions? • Why Joint Forest Management model is not followed in mobilizing community and engaging them actively in the project? • What are the processes envisaged to mobilize community support and participation to sustain project results? 	Village Panchayat Leaders and Members
Mangrove restoration	<ul style="list-style-type: none"> • What are the criteria used to find out suitability of a degraded area for restoration? • What methods followed to restore mangroves and why? • What are the species selected for plantation and why? • Are there any nurseries developed for mangroves? If yes, why? • How community is involved in restoration from the beginning? • Is there any Village level institution for restoration activities? If yes, what is it's, structure, role and responsibilities? • Is freshwater flow into the mangroves decreasing? If yes, how long and how much? 	NRO, WMC, State PMUs, Communities
Coral reef restoration	<ul style="list-style-type: none"> • What are the methods going to be followed to restore coral reefs? • How community will participate in this activity? • Is there any negative impact associated with coral reef restoration? 	NRO, WMC, State PMUs, Communities
Seagrass	<ul style="list-style-type: none"> • What are the methods going to be followed to restore coral reefs? • How community will participate in this activity? 	NRO, WMC, State PMUs, Communities
Salt marsh	<ul style="list-style-type: none"> • Is there salt marsh in your locality? • Are there any experiences in salt marsh restoration in India? 	NRO, WMC, State PMUs, Communities
Watershed	<ul style="list-style-type: none"> • How watershed restoration activities are linked to management of downstream coastal ecosystems? 	NRO, WMC, State PMUs

Output 2. Climate adaptive Livelihoods for enhanced resilience of vulnerable coastal communities		
Activity 2.1: Building climate resilient livelihoods and enterprises through value chains and strengthened access to markets		
Activity 2.1.1	Adaptive Livelihood Plans for landscapes: <ul style="list-style-type: none"> • How many livelihood plans have been developed? • How has adaptation and climate risk been integrated into these plans? • What was the process? How many men and women from the community were consulted? • How were the livelihood chosen? • Is there is DPR for each livelihood option? • Has market analysis risks and value chain for each livelihood /product been studied? • Has baseline of income been established? 	State PMUs, State PSCs, District Government, Communities

Activity 2.1.2	<p>Training for extension officers and community mobilizers in the target landscapes: how many officers are planned to be trained?</p> <ul style="list-style-type: none"> • How many people trained? How many are extension officers and community mobilizers? Are there any NGOs involved? • Which sectors/depts of extension officers were trained? • How were they selected? what was the criteria for selection? • For the above If the data gender segregated? how many women? • How community mobilizers were from within the community and were not part of NGOs or Govt.? 	State PMUs, State PSCs, District Government, Communities
Activity 2.1.3	<p>Total number of people supported with adaptive livelihood options</p> <ul style="list-style-type: none"> • How many people trained? • How were they selected? what was the criteria for selection? • How were people were chosen of beneficiaries/recipients of livelihood options? what was the criteria for selection? • How was vulnerability assessment used for selection of beneficiaries and villages ? • For the above-If the data gender segregated? how many women? how many women who are women headed households? • Has baseline of income been established? • What is relationship of chosen beneficiaries and restorations sites? • Are they involved in restoration and co-management? 	State PMUs, State PSCs, District Government, Communities
Activity 2.1.4	<p>Training on supporting climate adaptive value chains in the target landscapes</p> <ul style="list-style-type: none"> • Have there been market and value chain studies been done for the livelihood options? • How has climate change and adaptation been incorporated into same? • How has this integrated into the Livelihood Plans? 	State PMUs, State PSCs, District Government, Communities
Activity 2.1.5	<p>Technical assistance to community groups to set up certification schemes for “eco” products, and to develop bankable business plans to access loan finance for expansion, during or post-project.</p> <ul style="list-style-type: none"> • How many products been certified? • How many bankable business plans developed? How many for expansion? How many for fresh set up? • How many the business plans accessed loan/finance successfully? How many for expansion? how many for fresh set up? • If the data gender segregated? how many women? how many women who are women headed households? 	State PMUs, State PSCs, District Government, Communities
Activity 2.2. Improving capacities of local communities for community-based adaptation and climate-adaptive livelihoods		
Activity 2.2.1	<p>Climate resilient livelihood awareness strategy</p> <ul style="list-style-type: none"> • Has the strategy been developed? • What was the process followed? • How was gender dimension been mainstreamed? 	State PMUs, State PSCs, District Government, Communities

	<ul style="list-style-type: none"> • How many implementations reports so far? • How many people were reached directly? List and number of women in the outreach? 	
Activity 2.2.2	Ecosystem based Adaptation workshops in each landscape - Implementation of the Strategy? <ul style="list-style-type: none"> • How many workshops were done? How many reports? • What were topics and themes of different workshops? • What were the outcomes of the workshops? • How many women participated in the workshops? 	State PMUs, State PSCs, District Government, Communities
Activity 2.2.3	District Exchange Visits <ul style="list-style-type: none"> • What is the purpose of these exchange visits? • How many visits per year? • How many participated? How many women participated? How many women who were from women headed households who participated? • What were the outcomes of these exchange visits? 	State PMUs, State PSCs, District Government, Communities
Output 3: Strengthened coastal and marine governance and institutional framework		
3.1: Network of institutions for enhanced climate resilience and integrated planning and governance in all coastal states		
Activity 3.1.1	Pan-Indian Coastal Resilience Network <ul style="list-style-type: none"> • Has a strategy paper been developed with goals and objectives been developed • Is there a work plan and action plan for same? • Does the network have a website? • Who are the members? How many NGOs are part of same? How many different sectors? How many private sector members? How many women in the network? • How many meetings held per year? Minutes of meetings? 	National PMU, State PMUs, State PSCs
Activity 3.1.2	Multi-stakeholder adaptation coordination structures in target landscapes (government. Inter-sectoral) <ul style="list-style-type: none"> • Are these platforms different from CRZ committees at state and directly levels • What is the composition of these coordination structures? • List of Dept and Sector, List of private sector stakeholders, List of NGO stakeholders • How has the concept of climate adaptation and EbA been mainstreamed into these coordination structures? • How frequently do they meet? 	National PMU, State PMUs, State PSCs
Activity 3.1.3	EbA inclusive State Coastal Plans (CZMPs) <ul style="list-style-type: none"> • How many states have developed EbA? • Has any score card been developed for CZMPs on EbA? • What was the methodology and how was it developed? • What is rating of target states and landscapes as per score card? 	National PMU, State PMUs, State PSCs
Activity 3.1.4	National Coastal Mission established and has EbA program <ul style="list-style-type: none"> • What are the goals and objectives of the National Coastal Mission? • What are the goals and objectives of the EbA programme? 	National PMU, State PMUs, State PSCs

	<ul style="list-style-type: none"> • What is the frequency of meetings for the EbA programme? • How many reports? Is there national annual report for programme? • Are there any state level reports? • How many people work exclusively for the EbA programme? 	
Activity 3.2: Integrating ecosystem-centric approaches to climate change adaptation into public and private sector policies, plans and budgets, and scaling up finance for EbA		
Output 3.2.1	<p>Scenario Building workshops in 13 states (gov)</p> <ul style="list-style-type: none"> • How many workshops? How many stakeholders attended and break up list? • How is this linked to other output and outcomes • Any sectoral specific scenario building done? • How has this been and used and integrated in the states 	National PMU, State PMUs, State PSCs
Output 3.2.2	<p>Scenario Analysis Workshops in 3 states (gov)</p> <ul style="list-style-type: none"> • How many workshops? How many stakeholders attended and break u/p list? • How is this linked to other output and outcomes • Any sectoral specific scenario analysis done? • How has this been and used and integrated in the states? 	National PMU, State PMUs, State PSCs
Output 3.2.3	<p>Interdepartmental CZM platforms in 13 coastal states equipped to use scenario planning for business-as-usual vs ecosystem-based adaptation in the coastal zone</p> <ul style="list-style-type: none"> • Is this happening at state and district levels or both? • Please give the Number of examples and case studies to use scenario planning for ecosystem-based adaptation in the coastal zone? • Were any sectoral scenario planning done with ecosystem-based adaptation in the coastal zone? • What were major outputs and outcomes from the use scenario planning for ecosystem-based adaptation in the coastal zone? 	National PMU, State PMUs, State PSCs
Output 3.2.4	<p>Gender-sensitive ecosystem-based adaptation plans for four coastal Smart Cities (Kalyan in Maharashtra; Kakinada and Visakhapatnam in Andhra Pradesh; and Bhubaneswar in Odisha)</p> <ul style="list-style-type: none"> • What was process followed for above? • Have the ecosystem-based adaptation plans been integrated to the City Development Plan (DP) • How was gender dimension brought into the plans? 	National PMU, State PMUs, State PSCs
Output 3.2.5	<p>Trainings for coastal town planners and engineers on the Coastal Calculator tool, using EbA for shoreline protection and climate-resilient infrastructure</p> <ul style="list-style-type: none"> • How many workshops? • How many coastal town planners and engineers? How many women? • How is post training utilization of Coastal Calculator tool being tracked? • How many town plans actually integrated used of Coastal Calculator tool? 	National PMU, State PMUs, State PSCs

Output 3.2.6	Integration of EbA in National and State policy and legislation <ul style="list-style-type: none"> • How many examples of EbA integrated at National Level? (documents /reports) • How many examples of EbA integrated at State Level (documents /reports) • How many examples of EbA integrated at legislation? (documents /reports) 	National PMU, State PMUs, State PSCs
Output 3.2.7	Biennial intersectoral dialogues under the National Coastal Mission - engaging public and private sector role-players on coastal adaptation as a risk management strategy, incl. fisheries, agriculture, tourism, ports and shipping, oil and gas <ul style="list-style-type: none"> • How many workshops dialogues? • How many from each sector participated in each workshop? How many private sector participants? • How many sectoral coastal adaptation and risk management strategies were discussed and developed ? 	National PMU, State PMUs, State PSCs
Activity 3.3: Knowledge management for coastal resilience		
Activity 3.3.1	EbA KM System for National Coastal Mission <ul style="list-style-type: none"> • How many members? Breakup by sector? • What is the frequency of discussion and activity? (Per day /per week /per month) • What were the major outputs and outcomes of the KM System? 	National PMU, State PMUs, State PSCs
Activity 3.3.2	Workshops of Pan-Indian Coastal Resilience Network <ul style="list-style-type: none"> • How many workshops? • How many from each sector participated in each workshop? 	National PMU, State PMUs, State PSCs
Activity 3.3.3	EbA Training Course <ul style="list-style-type: none"> • How many courses developed • How many have been executed? Number per year and number of participants? How many women? 	National PMU, State PMUs, State PSCs
Activity 3.3.4	Gender Sensitive District Specific EbA Knowledge Products in local languages (for use in the community-level training courses for village self-help groups and CBOs, and women's capacity development programmes <ul style="list-style-type: none"> • How many knowledge products developed? • How is utilization of knowledge products is being tracked? • How was gender dimension brought into the product? • How many training courses using these products / Number per year and number of participants? How many women? 	National PMU, State PMUs, State PSCs
Activity 3.3.5	Exchange visits for government officials and community leaders <ul style="list-style-type: none"> • What is the purpose of these exchange visits? • How many visits per year? • How many government officials? How many were women? 	National PMU, State PMUs, State PSCs

	<ul style="list-style-type: none"> • How many community leaders participated? How many women participated? How many women who were from women headed households who participated? • What were the major results, outputs and outcomes of these exchange visits? 	
Activity 3.3.6	<p>South Asia 5 countries EbA Knowledge Exchange Platform</p> <ul style="list-style-type: none"> • How many members? Breakup by sector? • What is the frequency of discussion and activity? (Per day /per week /per month) • What were the major outputs and outcomes of the Knowledge Exchange Platform? 	National PMU, State PMUs, State PSCs
	Project Management	
	<ul style="list-style-type: none"> • What is the structure of the PMU? • What is the process of hiring PMU staff? • What positions at PMU are still missing? • What is the structure of PSC? • What are the key project achievements so far? • What are the key projects issues? • What is your suggestions to overcome project issues and fast-track its implementation? • What is experience and capacity of the PMU staff for the project management? • What are the key PMU approaches to engage with stakeholders? • What are the key PMU approaches to mainstream gender into project activities? • How PMU involves SC/ST in the project activities? • What is GRM structure for the project? • What is the structure of M&E Plan for the project? • What is the process of AWP development and approval by PSC? • What is the process of APR development and approval by PSC? • What are the key issues with PMU quarterly technical and financial reporting? • How fast PMU receives money tranches from UNDP? 	National PMU, State PMUs, State PSCs
	<i>Thank you for your attention!!!</i>	

Annex 6. List of Stakeholder Interviewed during the IE mission

06.08.2021						
GOVERNMENT OFFICIALS						
Date	Name	Position	District	Village	Telephone	Sex
	Sagar Ardekar	DFO/RFO	Palghar		90290 03995	M
	Pratik Prakash Tambe	District Coordination Officer – Palghar.	Palghar		95797 64604	M
	Aniket Shirke	Livelihoods Specialist,	Palghar		94045 63474	M
	Community Meeting Navghar Village		Palghar	Navghar		15 F
	Community Meeting Navghar Village		Palghar	Navghar		5 M
07.08.2022						
GOVERNMENT OFFICIAL						
		DFO/RFO	Raigad			M
COMMUNITY						
	Community Hall, Chaul Village		Raigad	Chaul		
	Men		Raigad	Chaul		8M
	Women		Raigad	Chaul		10F
	SHG		Raigad	Chaul		8 F
	MCMC		Raigad	Chaul		4 F
	MCMC		Raigad	Chaul		2 M
State PMU						
	Pragnya Shinde	PA Fisheries Mangrove Foundation	Raigad		86001 98712	F
	Dashrath D. Sirsat	District Coordination Officer - Raigad	Raigad			M
	Shubham	PA Forestry	Raigad	Raigad	+91 94055 44847	M
	Sameer Koltharkar	PA	Raigad	Raigad	97669 13948	M
8.08.2022						
GOVERNMENT OFFICIAL						
	Vivek Tiwari	SPD Head Mangrove Foundation	Mumbai	Mumbai		M
	Vikas Kharage	Forest Secy, GoM	Mumbai	Mumbai		M
		MMB	Mumbai	Mumbai		M
		Dept of Fisheries	Mumbai	Mumbai		F
		Dept of Agriculture	Mumbai	Mumbai		M
State PMU						

	Vikram Jalindar Yadav	Socio Economic and Livelihood & Associate Acting Manager	Mumbai	Mumbai		M
		Finance and Admin	Mumbai	Mumbai		F
Project State: Odisha						
9th August 2020	Meeting with community-based poultry unit including the women members participated					
	Rashmiranjan Sahu	Block Programme Manager, OLM	Bhitarkanika and Mahanadi Mouth	Rajnagar	9040995550	M
	Sabita Parida	Community Resource Person	Bhitarkanika	Dhandia	7846933176	F
	Nina Das	Member, Maa Thanapati SHG	Bhitarkanika	Baradia		F
	Kabita Pradhan	Member, Maa Thanapati SHG	Bhitarkanika	Baradia		F
	Sashikala Gahan	Member, Maa Thanapati SHG	Bhitarkanika	Baradia		F
	Prabhavati Pradhan	Member, Maa Thanapati SHG	Bhitarkanika	Baradia		F
9th August 2020	Meeting with community-based mushroom unit including the women members participated					
	Namita Rout	Community Resource Person	Bhitarkanika	Champadia	8342019530	F
	Manorama Rout	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
	Minati Rout	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
	Swarnalata Jena	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
	Daimati Jena	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
	Bijayalaxmi Rout	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
	Basanti Rout	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
	Amita Rout	Member, Nimanahakani SHG	Bhitarkanika	Padini		F
9th August 2020	Field visit to mangrove restoration sites and Field visit Mangrove meta-nursery					
	Dr JD Pati	Divisional Forest Officer	Bhitarkanika and Mahanadi Mouth	Rajnagar	7579461164	M
	Manas Kumar Das	Forest Range Officer	Bhitarkanika	Dangamal	9556073524	M
	Sunil Kumar Rout	Forest Guard	Bhitarkanika	Dangamal	7978351681	M
	Dukhiram Hansda	Forest Guard	Bhitarkanika	Dangamal	93488145900	M
	Madan Mohan Hansda	Forest Guard	Bhitarkanika	Dangamal	7873256748	M
	Kapilendra Pradhan	Forester	Bhitarkanika	Dangamal	9937942201	M

	Nirakar Behera	DLR	Bhitarkanika	Bankual	9438417923	M
	Natabar Kuanr	DLR	Bhitarkanika	Dangamal		M
10th August 2022	Meeting with Odisha State PMU					
	Susanat Nanda	SPD Director Cum Spl Secy	Bhubaneswar	Bhubaneswar		M
	Rajat Kumar Choudhury	State Project Manager	Bhubaneswar	Bhubaneswar	7978597554	M
	Dillip Kumar Mahapatra	Socio-Economic and Livelihood Associate	Bhubaneswar	Bhubaneswar	8763196347	M
	Ranjan Bhoi	District Project Coordinator - Gajnam	Bhubaneswar	Bhubaneswar	9348228872	M
	Parimita Routray	Communications, M&E Associate	Bhubaneswar	Bhubaneswar	9861072266	F
	Satyanarayan Gini	GIS Analyst	Bhubaneswar	Bhubaneswar	9938898028	M
	Ranjan Kumar	DCO, Ganjam	Ganjam	Ganjam	9348228872	M
	P.K. Parigrahy	Oceenogpaher	Bhubaneswar	Bhubaneswar	9861463307	M
	Debonam Pahi	DCO			9437757741	M
	Amlan Nayjadi	DFO Behrampur	Ganjam	BehramPut	9437296256	M
	Ayush Jain	DFO Balasore	Balasore	Balasore	9694029665	M
	J D Pato	DFO Rajnagar	Kendrapada	Rajnagar	9437037370	M
	Ramasamy P	DFO Puri	Puri	Puri	943708662	M
	Debasis Pati	District Coordination Officer	Kendrapara	Kendrapara	9437757741	M
	11 and 12 August, Delhi					
	Smt. Richa Sharma	Additional Secy, MoEFCC	Delhi	Delhi		F
	Smt. Rajasree Ray	Economic Advisor MoEFCC	Delhi	Delhi		F
	UNDP					
	Ms Shoko Nada	Resident Representative	Delhi	Delhi		F
	Mr Ashish Chaturvedi	Head, EER unit	Delhi	Delhi		M
	Dr. Ruchi Pant	Programme Manager - E&R Unit	Delhi	Delhi	9810556540	F
	National MPU					
	Ms. Ridhima Gupta	Programme Associate - CCR&E Unit	Delhi	Delhi	9873969397	F
	Ms. Pooja Verma	Technical officer (MIS)	Delhi	Delhi		F
	Ms. Nupur Sharma	Project Associate Admin & Finance	Delhi	Delhi	9891533270	F
	Ms. Urjaswi Sondhi	National UNV Project Associate, GCF coastal project	Delhi	Delhi	9871808969 1	F
	Mr. Sahil Sharma	Communication and Knowledge	Delhi	Delhi	9871444038	M

		Management Specialist				
	Mr. Jyotiraj Patra	Climate Change and Adaptation Specialist	Delhi	Delhi		M
	Mr. Murugan Arumugan	Marine and Mangrove Specialist	Delhi	Delhi		M
20 August, Skype						
National PMU						
	Mr. Vasudevan Narayan	National project Coordinator	N/A	N/A	vasuiist@gmail.com	M
22 and 23 August, Skype						
UNDP						
	Ms. Aishath Azza	Regional Technical Specialist Climate Change Adaptation	N/A	N/A	aishath.azza@undp.org	F
	Mr. Benjamin Larroquette	Global Advisor Early Warning Systems And Regional Technical Advisor UNDP- Nature Climate and Energy	N/A	N/A	benjamin.larroquette@undp.org	M
			Total:	53 Males		
				52 Females		

Annex 7. List of Documents and Other Sources Used by the IE

Following list of documents has been used for the desktop analysis of the project performance:

Project Documentation:

1. Project Document: “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084);
2. GCF Funding Proposal “Enhancing Climate Resilience of India’s Coastal Communities”;
3. GCF Funded Activity Agreement FP084. April 2019;
4. Project Feasibility Study 2017;
5. Baseline Assessment Report For the project FP084: Enhancing Climate Resilience of India’s Coastal Communities. December 2019;
6. FP084 Project Environmental and Social Safeguards Assessment Report 2018;
7. Environmental and Social Management Framework 2018;
8. FP084 Gender Assessment. January 2019;
9. FP084 Project Stakeholder Engagement Plan;
10. HACT Micro-Assessment for the Project Implementing Partner sand Responsible Parties;
11. Project Inception Report. December 2019;
12. Annex IX: Maps indicating the location of the project/programme;
13. Report “Cost-benefit analysis of the seagrass and coral reef restoration components of the “Enhancing Climate Resilience of India’s Coastal Communities” project proposal to GCF”. 2018;
14. Addendum to the cost-benefit analysis of the seagrass and coral reef restoration components of the “Enhancing Climate Resilience of India’s Coastal Communities” project proposal to GCF. 2018;
15. List of stakeholders consulted during the project development;
16. Minutes of stakeholder consultations during the project development;
17. Minutes of the First Meeting of the National Project Steering Committee (NPSC) for Green Climate Fund (GCF) funded Project "Enhancing Climate Resilience of India’s Coastal Communities held on 5th August, 2020 at 3.30P.M. on Virtual platform in New Delhi-110003;
18. Letter of Agreement between UNDP and Department of Forest, Environment, and Climate Change, Government of Odisha. September 2021;
19. Letter of Agreement between UNDP and Revenue and Forest Department, Government of Maharashtra. September 2021;
20. Letter of Agreement between UNDP and Environment, Forests, Science Department, Government of Andhra Pradesh. May 2022;
21. Amendment #1 to the Letter of Agreement between UNDP and Revenue and Forest Department, Government of Maharashtra. May 2022.
22. Amendment #2 to the Letter of Agreement between UNDP and Revenue and Forest Department, Government of Maharashtra. June 2022.
23. Project Steering Committees meetings minutes 2019-2021;
24. Approved Annual Work Plans 2019, 2020, 2021, 2022;
25. Project Procurement Plans 2019, 2020, 2021, 2022;
26. Project Annual Performance Reports 2019, 2020, 2021;
27. Project Results and Monitoring Pathways 2020, 2021;
28. Project Annual Financial Reports 2020 and 2021;
29. Project Quarterly Reports 2019, 2020, 2021, 2022;
30. Project Risk Log Quarterly or Annual Updates 2019-2022;
31. Project Quality Assurance Reports 2019, 2020, 2021;
32. ToRs of the Project Management Unit staff;
33. Activity/meetings/events reports (if any) 2019, 2020, 2021, 2022 with lists of participants;
34. Project publications and other communication materials 2021- 2022

Other publications, reports, databases

35. Executive Board of the United Nations Development Programme, the United Nations Population Fund and the United Nations Office for Project Services. 2017. Country programme document for India (2018-2022)
36. Government of India and the United Nations. Sustainable Development Framework 2018-2022. December 2017.
37. Planning Commission, Government of India. 2013. Twelfth Five Year Plan (2012/2017). Volumes 1 and 2;
38. Government of India 2008. National Action Plan on Climate Change (NAPCC);
39. India's Intended Nationally Determined Contribution (NDC). Working Toward Climate Justice. 2015;
40. Andhra Pradesh State Action Plan on Climate Change. March 2012;
41. Department of Environment, Government of Maharashtra 2014. Assessing Climate Change Vulnerability and Adaptation Strategies for Maharashtra: Maharashtra State Adaptation Action Plan on Climate Change (MSAAPC);
42. Odisha Climate Change Action Plan 2018-2023;
43. India State of Forest Report 2021

Annex 8. Project Team Comment- IE Response Matrix on the first version of the IE Report

Section	Page	Comments	Responses by IE Team
3.1	7	CO: Could you please recheck? 13? On the <i>“The project has 24 target landscapes located in 12 coastal districts of Andhra Pradesh, Maharashtra and Odisha states; total project area is ~1,586,590 ha”</i> .	The GCF project document mentions 12 districts: Nellore, Krishna, East Godavari, Srikakulam, Sindhudurg, Ratnagiri, Raigad, Palghar, Ganjam, Puri, Baleshwar, and Kendrapara.
3.2	9	CO: <i>“As of 17 August, the NPC has officially joined the NPMU”</i> on the <i>“The National PMU was formed only in 2022 and still does not have a National Project Coordinator”</i>	Thank you! Corrected as <i>“The National PMU was formed only in June-August 2022”</i> .
3.2	9	CO: pls confirm which AWP were approved by National PSC on the <i>“Annual Work Plans (AWPs) 2019, 2020, 2021, and 2022 were not approved by the National PSC”</i> .	None of the project AWP was approved by the National PSCs. Moreover, National PSC had only two meetings so far: in August 2020 and September 2022.
3.2.	9	CO: <i>“request to re-phrase”</i> on the <i>“Until 2022 MoEFCC’ ownership of the project was insufficient”</i>	Corrected as the following: <i>“Until 2021 MoEFCC’ ownership of the project was insufficient”</i>
3.2.	9	Odisha SPMU: <i>“7 NGOs are being procured for the 7 Landscapes in Odisha. Selection committees have been constituted under the overall supervision of the respective district collectors to select competent NGOs. SPMU has supported in drafting the ToRS and providing necessary technical and administrative support to the DPMUs in hiring the NGOs. The NGOS are planned to be on board this year and would provide the necessary community mobilisation, capacity building, etc that is currently being carried out by DPMU and line departments In addition , the District Level Coordination Committee also has representations from NGO sector”</i> on the <i>“The NGOs are essential partners in the implementation of the present complex project, but they have not been involved in the project yet”</i> .	Thank you! The following has been added to the Country Ownership summary and the section 6.6. Country Ownership: <i>The NGOs are essential partners in the implementation of the present complex project, but they have not been involved in the project yet (except of NGO representation in some of the District PSCs in Odisha).</i> Also, the following has been added to the Table 11. Country Ownership, p. 79: <i>“Currently 7 NGOs are in the process of hiring to support the project in landscapes of Odisha”</i> .

3.2	10	CO: “Request for more elaboration ?” on the “ <i>In 2021-2022 the project had a few “negative” unexpected results</i> ”	<p>This is only a brief summary of our findings in the table. Please, see relevant section of the report for details. The following footnote has been added to the Section 3.2:</p> <p><i>“This table contains only brief summaries of the IE findings, all details are provided in the relevant sections”</i></p>
3.2	10	Odisha SPMU: “A video documentary has been developed to showcase the restoration work. The same was also presented during the meeting with MTR team at SPMU” on the “ <i>The project has not extracted lessons from mangrove restoration and adaptation livelihood activities by the project in Maharashtra and Odisha yet</i> ”.	<p>Thank you for that! Yes, Odisha SPMU produced a nice video about mangrove restoration, however, we cannot count the video as a project lesson. A project lesson represent an analysis of a project activity and its result to answer the following questions: What worked well?, What did not worked well?, What are the key factors of success or failure of the activity? How we can improve this activity in future?</p> <p>Projects use lessons to improve their performance and avoid making same mistakes over and over again. We are absolutely sure that impressive mangrove restoration process in Odisha can provide a lot of valuable lessons to the project team. They only need to be extracted and described. For example, the important point is in Odisha natural canals in the mangrove wetland are being desilted to improve the flow of tidal water to help mangrove restoration/regeneration. In Maharashtra the idea of desilting natural canals as a restoration strategy is not thought of yet. Thus, cross learning from project site is very important achieve expected results of the project.</p> <p>The Project Management Institute uses above questions and structure for “ lessons learnt”: https://www.pmi.org/learning/library/lessons-learned-next-level-communicating-7991</p>
3.3	11	CO: “The implementing partner (MoEFCC) / NPSC as per the FAA needs to consider the request for extension” on the “ <i>Recommendation 4.2.1. The National PMU and UNDP should consider a request to the GCF for the project extension for at least 2 additional years (until 2027) without increasing the project budget</i> ”	<p>Agree. Corrected as the following:</p> <p><i>“Recommendation 4.2.1. The Implementing Partner (MoEFCC) should consider a request to the GCF for the project extension for at least 2 additional years (until 2027) without increasing the project budget”</i></p>
3.3.	11	NPMU: “The need for project extension, was brought to the notice of the national project steering committee in 2nd meeting held on 8.09.2022. It has been decided to take up the matter with GCF at the earliest” on the “ <i>Recommendation 7.2.1. The National PMU and UNDP should consider a request to the GCF for the project extension for at least 2 additional years (until 2027) without increasing the project budget</i> ”	<p>Thank you! This was added as a footnote for the Recommendation 7.2.1</p>
3.3	11	NPMU: “Already organized an orientation programme for the three states and the NPMU under the guidance	<p>Thank you! This was added as a footnote for the Recommendation 7.2.3</p>

		of the RTA, on 1-2 September 2022” on the <i>Recommendation 7.2.3. By December 2022 UNDP should provide a training session to the National and State PMUs on the planning and reporting standards focusing on issues in previous Quarterly Reports, AWP and APRs that slow down the process of their approval and quarterly funds transfers to National and State PMUs</i>	
3.3	12	Odisha SPMU: “It is suggested to consider annual tranches so that adequate time is provided for implementation” on the “ <i>Recommendation 7.3.4. UNDP CO should consider 6 month financial tranches to the National and State PMUs to allow them more flexibility to implement the project activities and use funds</i> ”.	We agree that annual tranches will provide even better flexibility for the National and State PMUs, however, UNDP currently does not practice annual tranches at all. Even 6 months tranches are currently extremely rare in UNDP practice.
3.3	12	NPMU: 4.3.3 NPMU ALL positions are already hired, except for the position of the M&E officer. The M&E interviews likely to take place end of September 2022. State PMU positions: Vacancies in the state PMUs is also advertised and process of hiring the staff is in progress on the <i>Recommendation 7.3.3. UNDP CO should have discussion with the UNDP Bangkok Regional Hub and UNDP GSSU to find more efficient way of hiring National and State PMU staff that takes no more than 2 months total.</i>	Great, the project is close to completion of the full project management structure. However, Recommendation 7.3.3 is still valid as the project may have a turnover of the project management staff in the future and the vacant positions will need to be covered fast to ensure effective project implementation.
3.3	12	NPMU: “6 month financial tranches: The matter is being discussed with MoEFCC and also the finance wing of UNDP CO - so as to ensure smooth flow of funds in future” on the “ <i>Recommendation 7.3.4. UNDP CO should consider 6 month financial tranches to the National and State PMUs to allow them more flexibility to implement the project activities and use funds</i> ”.	Thank you, you are moving fast to fast-track the project implementation! Added as a footnote to the Recommendation 7.3.3.
4.4	23	NPMU: “Clarification needed on no. of days” on the “ <i>Limited time (only 35 days) and significant number (10) of the evaluation areas (instead of usual four evaluation areas for UNDP MTR) allowed collection and analysis only of a fraction of data on the project performance for each evaluation area</i> ”.	The following clarification footnotes has been added to this sentence: <ul style="list-style-type: none"> - 30-35 days is an average time for Mid-Term Review of GEF projects with much smaller budget (\$3-12 mln.) than the GCF project (\$43 mln.) - The evaluation areas are: (1) Project Strategy; (2) Relevance, Effectiveness and Efficiency; (3) Progress towards Results; (4) Implementation and Adaptive

			<i>Management; (5) Sustainability; (6) Country Ownership; (7) Gender Equity; (8) Innovativeness; (9) Unexpected Results; and (10) Replication and Scalability</i>
5	13	Odisha SPMU: “Please add “The project is financially supported by GCF, the State Governments of Odisha, Andhra Pradesh and Maharashtra and Government of India (GoI)”” to the Introduction section	Thank you! Corrected as the following: <i>“The project is financially supported by GCF, the Government of India (GoI) and the State Governments of Odisha, Andhra Pradesh and Maharashtra”.</i> Same edit has been made in the section V. Project Description & Background Context
4	24	Odisha SPMU: Please replace Odisha Forest and Environment Department with “Odisha Forest , Environment and Climate Change Department” in the section V. Project Description & Background Context	Thank you! Corrected as requested.
5.3	28	NPMU: ”Total project area: Although GCF grant was not utilized in AP, there have been a few restoration activities funded by state government” on the <i>“Total project area of ~1,586,590 ha, however, currently project activities are implemented only in two states – Maharashtra and Odisha”.</i>	Thank you for that! We should mention that almost all coastal states have ecosystem restoration activities not related to the GCF project. So, let’s keep them separate and do not mix results of different projects.
5.5	32	NPMU: “The National Project Management Unit (NPMU) may be included as one of the key stakeholders” on the <i>“Table 2. Key stakeholders of the GCF project in India and their roles in the project implementation”</i>	You are right that National PMU (as well as State PMUs and National and State PSCs) are the project stakeholders. However, we consider them as well as the project management structure under the section 5.4. Project implementation arrangements. In this section (5.5) we consider all other partners and stakeholders of the project.
6.1	33	CO: “This would have implications as UNDP is not accredited with GCF to do projects under Environment and social safeguards (ESS) Category A. Therefore, explanations on the types of risks and assessments leading to the "High" risk level would be required, and the impact on overall ESS category. Requesting the evaluator for clarity on this assessment and inquiring whether the finding should be that the project risks and SESP (and ESMP) should be revisited and re-analysed to confirm the risk level” on the <i>“The overall Project Risk and SESP Risk can be assessed as High”</i> Requesting further clarity on the risk assessment and the "high" rating as the ESS category for this project has been determined to be Category B and UNDP is not accredited to implement ESS Category A projects	Thank you for the comment! We fully understand your concerns. In accordance with the GCP proposal and Risk Log the project has 3 risks with High Impact. And you are right, project overall SESP Risk is assessed as Moderate. So, we re-phrased that like the following: <i>Three project risks in the Risk Log are of High Impact. Overall SESP Risk is assessed as Moderate, however, some obvious social and environmental risks have not been considered in the project SESP.</i> Also, we made the following corrections in the Table 3. Analysis of the Project Strategy: <i>Three project risks in the Risk Log have High Impact.</i> <i>Overall project SESP risk is assessed as Moderate.</i>

		on the <i>“The overall Project Risk and SESP Risk can be assessed as High”</i>	
		CO: <i>“Is this Project Results Framework? In the Acronym List, there’s only RF”</i> on the <i>“PRF is not absolutely logical and have a lot of redundant indicators that do not add additional value and clarity”</i> .	PRF is the Project Results Framework, correct. This was edited in the Acronym List.
6.1	34-35	CO: The overall project risk is <i>“Medium”</i> in accordance with UNDP Risk Matrix, not <i>“High”</i> . Risks 5, 8, 9, and 10 are not mentioned in the risk logs as the activities are specifically designed with no residual negative effect of anthropogenic activities on sustainability of the project results” on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i>	The Project Risks and SESP Risk overall level were corrected (see the previous comment). But Risks 5, 8, 9, and 10 are obviously present in the UNDP Risk Log (please, look at the Annex K: UNDP Risk Log, GCF project document) and mentioned in the GCF proposal as well.
6.1	34-35	CO: <i>“Risk 2 is not High and is Low as proposed, because inter-sectoral cooperation for the multi-activity and inter-state project, go above and beyond only mangrove restoration, that too beyond only one state of Andhra Pradesh”</i> on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i>	We propose you consider this risk as High Impact given experience of our team with other similar projects in India where this risk was present. Your justification of this risk as Low is unclear. This opinion of the IE Team, if you disagree you can address this in the management response to the report
6.1	34-35	CO: <i>“ project particularly avoids activities in or near sensitive areas. SESP is classified in accordance with UNDP SES Principals and Standards. No risks to Scheduled Castes and Tribes in the project sites”</i> on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i>	<p>We respectfully disagree here. Even if you try to avoid negative impacts during the project activity implementation you should consider project potential negative consequences as risks and consider how you will manage the risks. This is standard UNDP practice for all projects. The risks in the SESP are obviously DO NOT classified in accordance to the SES 3 Principal and 7 Standards (please look at the Annex VI (a). Social and Environmental Screening Template for the GCF Project).</p> <p>Additionally, the following risks for Scheduled Castes and Tribes (you even mention this risk in the project SESP as Risk 8) in the project sites are present:</p> <ul style="list-style-type: none"> - ecosystem restoration process can potentially negatively affect marginal communities and displace them from the land located in the converted ecosystems and lead to loss of arable land, other important natural resources, and income). For example, many coastal fishing communities in India may have only homestead land (housing titles and not other rights over other coastal spaces thus making community beaches and other spaces as commons or land belonging to the state;

			<p>- Scheduled Casts and Tribes can be potentially discriminated and excluded from the project activities. For example, current number of SC and ST among project beneficiaries of the Output 2 is only 20 (1.2% out of 1,635 people) and that is very low.</p> <p>Thus, once again we strongly recommend National and State PMUs to make a regular review (quarterly) of the SESP risk assessment for the project.</p>
6.1	34-35	CO: The Gender Action Plan has been updated and implemented. since project commencement, minimizing any gender- specific risks on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i>	The IE Team did not find updated Gender Action Plan among the project documents. Additionally, the original SESP does not consider gender-specific risks (Principle 2: Gender Equality and Women’s Empowerment), however, mentions this risk (Risk 8) among the project risks in the Risk Log. Gender related risks should be definitely considered by the project team. For example, current women involvement in the project implementation is much lower than expected: number of women among participants and beneficiaries of the Output 2 activities in Maharashtra is 435 out of 1,635 people (only 27%, instead of planned 50%).
6.1	34-35	CO: “Principle 1: Human Rights and Standard 5: Displacement and Resettlement, the risk has not been considered in the project design as no such activities have taken place that can potentially negatively affect marginal communities and/or displace them” on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i>	We respectfully disagree here again. As we mentioned above, ecosystem restoration process can potentially negatively affect marginal communities and displace them from the land located in the converted ecosystems and lead to loss of arable land, other important natural resources, and income. For example, many coastal fishing communities in India may have only homestead land (housing titles and not other rights over other coastal spaces) thus making community beaches and other spaces as commons or land belonging to the state. So, potentially people can be displaced (physically or economically) from such sites. Even if the risk of Displacement and Resettlement is low it should be considered by the project.
6.1	34-35	CO: “Additionally, the project will now have the detailed Environmental and Social Management Plans (ESMPs) that will correspond to the actual SESP risk assessment and consider different risks and their corresponding mitigation measures. Kindly add this note, wherever this mismatch is mentioned. This helps set the context and explain the issue within the sentence, without giving out the wrong message” on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i>	Yes, this very good you are going to develop detailed Environmental and Social Management Plans (ESMPs) for the project areas. However, in the IE Report we reflect the current situation with the project , we cannot predict what will happen in the future. We have relevant recommendation about ESMPs in the report. In your management response to the report and recommendations you can mention all that you suggest. Please, reflect ESMPs progress in the management response.
6.1	34-35	CO: “The SESP and ESMF risks and mitigation measures need to be updated and will be in accordance with each other, monitored quarterly. As activities had not, until recently commenced in the target landscapes, therefore the mismatch to the earlier anticipated risks.	Once again, we cannot tell what will happen in the future with the project, because we do not know. We can only reflect what we see now across evaluation criteria in the report. In your management response to the report and recommendations you can mention all that you suggest. Moreover, this comment is not relevant for the Project Strategy section: the projects do not usually produce ESMPs at the project development stage that we

		<p>Kindly add this note, wherever this mismatch is mentioned. This helps set the context and explain the issue within the sentence, without giving out the wrong message.</p> <p>Please suffix the sentence explaining the issue, wherever the problems are mentioned: e.g. No Social Inclusion Plans for project states or landscapes have been prepared yet OR No ESMP has been produced for the entire project to monitor and mitigate social and environmental risks.</p> <p>Please suffix the sentence in this way: No ESMP has been produced for the entire project to monitor and mitigate social and environmental risks, as activities had not, until recently commenced in the target landscapes, the respective plans need to be updated corresponding to the earlier anticipated risks, against the actual risks.</p> <p>This helps set the context and explain the issue within the sentence. Incomplete sentences throughout the report simply give out the wrong message” on the <i>Realistic assessment of risks to the project and risks that can be produced by the project</i></p>	<p>considering here. ESMPs are produced at the project start before any activities can take place.</p> <p>“Incomplete sentences throughout the report simply give out the wrong message”. This comment is unclear. Please, be specific</p>
6.1	36	<p>Odisha SPMU: In addition, the Odisha SPMU had consulted scientific institutes, CDA and Odisha Space Application Centre for delineating the project landscapes using criteria such as:</p> <ol style="list-style-type: none"> 1) High tideline 2) Low tideline 3) Hazard line 4) Watershed area etc” on the <i>Adequacy of selection of the project sites</i> in the Table 3. 	<p>Thank you! But in the Table 3 we consider the project design stage only, not the project implementation stage. It looks like you used these four criteria to delineate the landscape boundaries in 2021, correct?</p>
6.1	38	<p>CO: “Could this be clarified further? How is the project Outputs redundant in relation to the GCF Outcomes and Impacts (standard ones that are required to be used to show linkage with GCF results)”</p>	<p>This is usual issue with GCF projects. Some of the project Output, Outcome, and Impact targets reflect the same values. The issue is further clarified in the subsection SMARTness and relevance of Impact, Outcome and Output indicators. We added the following for clarification (in green):</p>

			<p>“however, the project uses standard GCF Outcomes and Impacts in the PRF that are redundant with the project Outputs: some Output, Outcome, and Impact indicators reflect the same target values (see details below in the next subsection below <i>SMARTness and relevance of Impact, Outcome and Output indicators</i>).</p>
6.1	38	<p>NPMU: “We explained this to them” on the “<i>Additionally, under Activity 1.2 the project suggests restoration of salt marshes, but this ecosystem type does not exist in India</i>”.</p>	<p>At least in Bhitarkanika local staff expressed doubts and unclarity about this type of ecosystem and restoration targets. Similar doubts about salt marsh restoration were expressed by Dr. Selvam, a member of the IE Team. But if you know exactly what you will restore and how you will do that, that is fine. Please, see more detailed explanation of the salt marsh issue by Dr. Selvam in the Note 1 below.</p>
6.2	44-45	<p>NPMU: “IE team has calculated the likelihood of coastal ecosystem restoration by simply extrapolating the achievement so far. One of the assumptions in arriving at the figure if 33% achievement is that there are no saltmarshes in India and no restoration can practically happen in this ecosystem category. The saltmarsh ecosystem as found in India are quite different from the ones found in temperate regions. But saltmarshes do exist in India as per the report published by the Government of India and many scientific papers available in the public domain. These are ecosystems which have often been neglected and mistaken for mudflats or mangrove areas. The GCF project gives us an opportunity to pay focused attention to saltmarshes in the east coast of India. The coral restoration target is challenging but if we adopt a combination of coral transplantation along with the creation of artificial reefs it should be possible to achieve the target of 35 ha for this ecosystem. To sum up, the NPMU is confident that we will be able to achieve at least 90% of the eco-restoration targets by the end of the project period” on the “<i>Probability that the project strategies will achieve the project Outcomes during the project lifetime</i>”</p>	<p>Yes, you are correct. We make our projections of what the project is likely to achieve given its current effectiveness (2021-2022). That was stressed again in the Effectiveness section of the report. We do not know how the project will perform after the IE, but currently its effectiveness is very low. That is all we know. That is why we explain our projections like the following: “Thus, the Outcome 1 is unlikely to be achieved by the end of the project (2025), if the implementation effectiveness does not change. Average annual restoration and protection rate for coastal ecosystems is currently 1,219 ha/year under the project (2021-2022)”. That is true for salt marshes too: the current project effectiveness in salt marshes restoration is 0 ha/year. And coral reef restoration effectiveness by the mid-term is 0 ha/year again. This is the only data we have now. Great, you are so confident that you can achieve 90% of the ecosystem restoration targets (why not 100%?), but for that you have to change current effectiveness of the project. That is it. We provide many recommendations how we can improve the project effectiveness.</p>
6.2	44-45	<p>NPMU: “Similarly the IE team has grossly underestimated the number of beneficiaries of climate smart agriculture and adaptive livelihood options and worked out figures based on performance in the first three years. Considering that the livelihood activities</p>	<p>Yes, you are correct again! We use only the data 2019-2022 to estimate what the project is likely to achieve given its current effectiveness. We know nothing about the project performance after the IE and we have zero knowledge about your “future achievement”. Moreover, for the number of local people in the project landscapes who practice climate-</p>

		are yet to take off in the three states (barring some modest achievements in Maharashtra). Relying on the performance so far to predict the future achievement would amount to a great mis-calculation” on the <i>“Probability that the project strategies will achieve the project Outcomes during the project lifetime”</i>	smart agriculture and adaptive livelihood options you have huge target of 1,700,000. That is why we explain this projection like the following: “1,704 (2021-2022) + 1,704 people * 3 years = 6,816 people (0.4% of planned 1,744,970 local people by the end of the project). Even if the project effectiveness increases , the Outcome 2 is unlikely to be achieved by the end of the project (2025) if the target is not adjusted and the project effectiveness increased. Page 49 of Prodoc suggest in number of target households as 202,000! Don’t you think this is too many?
6.2	44-45	NPMU: “With the coming into existence of the NPMU and the SPMUs, we hope to reach a stage, by the beginning of 2023, where the project activities will be implemented with full vigour. The expected results under Outcome 3 are achievable by working closely with the national and state governments” on the <i>“Probability that the project strategies will achieve the project Outcomes during the project lifetime”</i>	Once again, we use only the data 2019-2022 to estimate what the project is likely to achieve given its current effectiveness . Current effectiveness of the project to achieve the Outcome 3 is 0 per year. As you correctly stated it, “you hope”, but you do not know about the exact project performance in future. We also believe that the Outcome 3 still can be achieved, but for that the project has to change its effectiveness . Moreover, for policy, legislation, and plans to be officially approved by government and start to be applied you need significant time (sometimes up to 5 years or longer). So, in this case we need to be very effective, especially if the project is not extended. We provide relevant recommendations for that.
6.2	45	Maharashtra SPMU: “However, towards strengthening the EbA approach the Forest Department of Government of Maharashtra have successfully implemented workshops in the target landscapes of Palghar and Raigad involving 77 officials representing the Forest department and Mangrove foundation and the DPMU of the respective landscapes” suggested to consider under <i>Probability that the project strategies will achieve the project Outcomes during the project lifetime</i> (Outcome 3) in the Table 5. Review of the Project Effectiveness	Thank you for this suggestion! We can consider it in the section “Progress Towards Results” where we describe key project deliverables under each Activity. The trainings for 77 officials you mentioned were organized under the Output 1 to support mangroves restoration, but not under Output 3.
6.2	46	CO: “MCMCs were also used for consultation purposes on the project/environmental and social risks briefing etc” on the <i>“Many Mangroves Co-Management Committees (MCMCs) established by the project in Maharashtra landscapes are actually not involved in the mangroves restoration and co-management. Mainly these MCMCs serve to promote adaptation livelihood options in the landscapes. Moreover, for mangrove restoration the project team brings people from villages located outside of the</i>	This is great that MCMCs were used for the consultations on environmental and social risks. However, under the project Output 1 one of the key objectives is to establish community co-management structures for coastal ecosystems. We found that some MCMCs established by the project do not actually participate in the mangroves co-management and restoration. And we report you about this fact to take a corrective action.

		<i>project landscapes, but not locals leaving near restoration sites and having MCMCs. This situation negatively impact local ownership and sustainability of the restoration sites”.</i>	
6.2	46	<p>NPMU: “The MCMCs are strong grassroots level institutions, primarily aimed at co-management of mangroves and coastal biodiversity. The members of these committees have high level of awareness about the need to preserve the mangroves in their neighbourhood. In many villages they are actively involved in mangrove restoration and coastal/marine biodiversity conservation works. In some villages like the one visited by the IE team, there is a shortage of manpower due to large scale migration of people to urban areas in search of better employment. In such cases, with the consent of the village panchayat (council) people from outside the project landscapes are brought in order to complete the mangrove restoration activities in time. It would be wrong to conclude that the local ownership and sustainability of the restoration sites will be affected merely because the local community didn't earn wages from restoration activities. In fact, most of them now appreciate the ecosystem value of mangroves and would be too happy to have mangroves in their neighbourhoods, regardless they were not direct wage earners of mangrove restoration works” on the “<i>Many Mangroves Co-Management Committees (MCMCs) established by the project in Maharashtra landscapes are actually not involved in the mangroves restoration and co-management. Mainly these MCMCs serve to promote adaptation livelihood options in the landscapes. Moreover, for mangrove restoration the project team brings people from villages located outside of the project landscapes, but not locals leaving near restoration sites and having MCMCs. This situation negatively impact local ownership and sustainability of the restoration sites”.</i></p>	<p>We just report what we found out in the Maharashtra project communities and MCMCs we visited. The MCMCs do have a linkage to grassroots level institutions like the Village Panchayats. In communities we visited the locals honestly said that they established MCMCs to get access to adaptive livelihood funds provided by the project. They clearly told that they were not involved in mangrove restoration and co-management activities. That was confirmed by Maharashtra PMU. Given that situation that does not support local ownership of mangroves and other ecosystems we draw your attention to that and provide some recommendations to improve it. In other parts of India different village level committees are established for forest and mangrove management and they are really involved in the restoration and ecosystem management process.</p>

6.2	47	CO: “Why?” on the <i>“If the project continues without significant management changes it will be completed only in 15 years after the Mid-Term”</i> .	Thank you! The sentence was deleted. It was wrong calculation. Given the project expenditures in 2019-2021 it will take much longer than 15 years for the project to be completed if we do not change the efficiency and effectiveness of the project . But we agree, that this does not add value for the project fast-tracking.
6.2	47	NPMU: The IE team is fully aware that the project lost critical working period of about two years due to Covid 19 pandemic. Naturally the performance with regard to ecosystem restoration and livelihood activities is way below what could have been otherwise achieved. The IE report itself has recommended an extension of nearly two years for the project, primarily due to these reasons. The NPMU will spare no efforts to achieve the project objectives in the remaining period. And if the extension is granted, it will certainly be possible to fully achieve the targets. In the light of the above IE team may please consider deleting this somewhat cursory remark that it would take 15 years to achieve the targets” on the <i>“If the project continues without significant management changes it will be completed only in 15 years after the Mid-Term”</i>	Yes, the sentence was deleted. Once again, please, we considered this output only if the project efficiency and effectiveness remain unchanged from 2019-2021.
6.2	47	Maharashtra SPMU: “In Maharashtra State the Mangrove Restoration Work was undertaken on 77.44 ha through GCF funds and on 282 ha through state co-finance from the year 2020 total Mangrove restoration work in Maharashtra is 359.44 ha. In Maharashtra, the efforts towards Mangrove restoration were concentrated in the lines of construction of fishbone channels, propagule collection by local communities complimented by plantation efforts, channel digging works to improve tidal inundation and thereby encourage natural mangrove regeneration on mangrove land” on the <i>“719 ha of mangroves and 500 ha of coastal watersheds are under restoration through different techniques in Maharashtra and Odisha project landscapes”</i> .	Thank you for this clarification! For the evaluation of the project progress under Output 1 we consider only area of coastal ecosystems restored under direct GCF funding, but not co-financing. In accordance with the GCF prodoc, all ecosystem restoration and maintenance activities (Activity 1.2) are fully funded by the GCF project (budget note 1G). State level co-financing for Activity 1.2 is for procurement of equipment to support restoration activities under GCF funding. Moreover, the GCF project activities in Maharashtra State started only in 2021.
6.2	46	Maharashtra SPMU: “Albeit, in Maharashtra the SPMU have signed an agreement with CSIR-NIO, Goa for conducting a ‘Baseline study for Assessing the biodiversity and biophysical status of coral reefs along	Thank you for this clarification! This is a great move forward, however, by the mid-term the project was expected to achieve actual restoration targets for seagrass, coral reefs, and salt marshes in different project states. Total area restored for these ecosystems is currently 0 ha.

		the Maharashtra coastline: prospects for reef restoration’ on 8th June 2022. This crucial scientific study will pave the way for defining the way forward for the proposed coral restoration methodology, the best suitable sites along the Maharashtra coast” on the <i>“No restoration activities have been started for seagrass, coral reefs, coastal watersheds and salt marshes yet”</i>	
6.2	48	Maharashtra SPMU: “Mangroves Co-Management Committees (MCMCs) established by the project in Maharashtra landscapes state focus primarily on the development of climate adaptive livelihoods involving the local communities and their involvement in mainstream conservation and restoration activities is as such very limited. Therefore, there is scope for establishment of such committees in the respective villages” on the <i>“Many Mangroves Co-Management Committees (MCMCs) established by the project in Maharashtra landscapes are actually not involved in the mangroves restoration and co-management”</i>	Under the project Activity 1.2 the project has to establish Landscape level Co-management structures for coastal ecosystems. Maharashtra PMU established Mangroves Co-Management Committees (MCMCs) in the project landscapes, however, they are not directly involved in the mangrove restoration and co-management. If these Committees are established to support adaptive livelihood they should be called accordingly, for example, Local Adaptation Livelihood Committees or Units.
6.3	49	Odisha SPMU: 1. SPMU, Odisha has consulted series of technical institutes and Scientists in the fishery and agriculture sector viz. CMFRI, CIFT , OUAT, NRRI, IRRI, KVKs (6 virtual meetings) , 2 meetings at state level with FARD, GoO and 12 meetings with line departments in 4 project districts to take suggestions on local context specific climate adaptive livelihood interventions in Odisha as most of the proposed livelihood activities are not technically feasible to practice in Odisha as suggested by Government line departments in Odisha. Landscape wise Livelihood plans will be developed after engagement and in consultation of local communities in 7 project landscapes. The project had also consulted state and district level line department officials of Agriculture through virtual mode where 25 officials were attended the meeting” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022	Thank you for this information! Please, kindly understand that for the evaluation of the project progress towards results we count final deliverables mentioned in the GCF prodoc, Project Results Framework, and Annex 10. Timetable for the project implementation. The activities you describe here are preparatory activities for the Landscape Livelihood Plans (final deliverables) that are not yet developed.

6.3	49	Odisha SPMU: “Green Mussel Farming, Oyster farming not recommended by line departments in Odisha (FARD) due to lack of local consumption and technical feasibility. SRI principles cannot be practiced in project landscapes as project villages are in low land and irrigation management requires regular wetting and drying which reduces methine gas emission to GHG) which cannot be practiced in low land” on the “ <i>Under this Activity in 2019-2022 (by July) the project: (2) introduced 6 adaptive livelihood options (Ornamental Fish Farming (GCF), Oyster Farming (GCF), Sea Bass Cage culture (Co - Finance), Green Mussel Farming (Co - Finance), Oyster Farming (Co-finance), SRI (Co-Finance)</i>	Thank you for your clarification! In the Table 7. Delivery of the Project Activities and Outputs by July 2022 we described what actually was delivered by the project under each activity. This is fine if you are not going to introduce Green Mussel Farming, Oyster farming, and SRI in Odisha landscape, because these options are not applicable there.
6.3	49	Odisha SPMU: “3. Project has sensitized 28 extension workers of line departments (BAOs, AHOs, VAS, BFOs etc) on context specific climate resilient agriculture during identification of context specific climate resilient livelihood option in 4 project districts of Odisha . Community mobilizers will be trained after engagement of Subject Matter Specialists at DPMU level and FNGOs at landscape level” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022	Thank you for this information! Please, kindly understand that for the evaluation of the project progress towards results we count final deliverables mentioned in the GCF prodoc, Project Results Framework, and Annex 10. Timetable for the project implementation. The activities you describe here are preparatory activities for trainings of extension officers and community mobilizers in 24 target landscapes to promote adaptation livelihood options among local communities (final deliverable)
6.3	49	Odisha SPMU: “The project has trained 20 VSS members on best farming practices of cyclone resilient dwarf variety coconut plantation in Bahuda landscape of Ganjam district” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022	Thank you for this additional information! We can count this 20 trained villages under the Activity 2.2. Added as the following: “ <i>Under this Activity in 2019-2022 (by July) the project: (1) trained 69 people on clown fish aquaculture (Palghar, Raigad, Sindhudurg landscapes) and 20 people on cyclone resilient dwarf variety coconut plantation (Bahuda landscape, Ganjam district, Odisha)</i> ”
6.3	49	Odisha SPMU: “The DLCC formed are district level coordination committees that are supervising the implementation of the adaptation strategies at the district level. It comprises relevant technical and non-technical officials from the district level line departments. Further existing block and Gram panchayat level committees are being mobilised to coordinate, provide technical and administrative support for ensuring community led adaptation	Based on the documents provided by Odisha SPMU, DLCCs were established in 4 project landscapes to support the GCF project implementation as a part of the project management arrangements. In the Notification of the Government of Odisha dated on January 27 2022 they are called “multisectoral coordination bodies for guiding in the implementation of the project”. Also, DLCCs are mentioned as elements of the project management structure in the GCF proposal (section C.7). However, under Output 3 (Activity 3.1) the project plans to establish permanent “multi-stakeholder coordination structures (like the Chilika Development Authority) comprising representatives from relevant state level ministries, district-level government, NGOs, and

		implementation” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022	<p>academic/research institutions” (paragraph 110 of the GCF proposal). The multi-stakeholder coordination structures “will be established to promote dialogue and coordination concerning climate-resilient planning in coastal areas”.</p> <p>Given that, we cannot count DLCCs as the “multi-stakeholder coordination structures” that has to be established under Activity 3.1. However, DLCCs can be potentially converted to these “multi-stakeholder coordination structures” if the project ensures their sustainability (beyond the project lifetime) and participation of other relevant stakeholders.</p>
6.3	49	Odisha SPMU: Knowledge exchange visits have taken place between Odisha and Maharashtra team to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022	Based on the information provided by Odisha SPMU and Maharashtra SPMU, two knowledge exchange visits added to the Table 7. Delivery of the Project Activities and Outputs by July 2022.
6.3	49	Maharashtra SPMU: “Although in the State of Maharashtra through the technical support from ICAR-NBFGR, 2 day residential capacity building trainings on clown fish aquaculture for 3 separate batches were held at the Clown fish hatchery facility at Airoli, Mumbai. A total of 69 beneficiaries and 16 project associates (fisheries) from the Mangrove foundation were trained. As a cascading effect of this training, beneficiary groups were further involved in inter-district field exposure visits to neighbouring districts within Maharashtra to witness ongoing successful climate adaptive livelihood units and also for interaction with the relevant community members” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022 under Activity 2.1	Thank you for your clarification! We consider 69 beneficiaries you mentioned under Activity 2.2. in the Table 7.
6.3	49	Maharashtra SPMU: “As a part of strengthening the post-harvest technology in terms of fisheries, a total of 161 beneficiaries from Sindhudurg, Raigad, Palghar and Ratnagiri landscapes were trained on “Hygienic handling and value addition in fisheries” by the ICAR-CIFT” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022 under Activity 2.1	Based on the information provided by the Maharashtra PMU this has been added Table 7. Delivery of the Project Activities and Outputs by July 2022 under Activity 2.2.
6.3	49	Maharashtra SPMU: “organized 3 exchange trips for local communities (75 people) on adaptation livelihood” – clarification for Activity 2.2 Table 7.	Thank you! Updated as requested.

6.3	49	Maharashtra SPMU: “2 separate field exposure visits on EbA and climate adaptive livelihoods were done from Odisha to Maharashtra involving officials from the Forest Department and the SPMU” to consider for the Table 7. Delivery of the Project Activities and Outputs by July 2022 under Activity 3.3	Thank you! Updated as requested.
6.3	50	CO: “Not sure if this is the reason” on the <i>“One of the reasons of the delay to establish project management structure is explained by the lack of GCF project implementation experience at MoEFCC and target State governments.”</i>	The following clarification has been added: <i>“One of the reasons of the delay to establish project management structure is explained by the lack of GCF project implementation experience at MoEFCC and target State governments (this is first GCF project for India)”</i>
6.3	50	CO: “Maybe we should focus on this more” on the <i>“Long process to hire PMU officers (4-5 months for each officer) via UNDP Bangkok Hub contributed to the delay with the project management structure”</i> .	This issue was mentioned in the report, relevant recommendation was provided.
6.3	50	CO: “GSSU was involved” on the <i>Long process to hire PMU officers (4-5 months for each officer) via UNDP Bangkok Hub contributed to the delay with the project management structure.</i>	Thank you! Corrected as the following: <i>Long process to hire PMU officers (4-5 months for each officer) via UNDP GSSU contributed to the delay with the project management structure.</i>
6.3	50	Maharashtra SPMU: “...18-60 days delays” on the <i>“Both State PMUs report 18-30 days delays to receive the project quarterly funds from UNDP after funding request is submitted to UNDP”</i> .	Thank you! Corrected as suggested.
6.3	50	CO: “COVID-19 pandemic impact was perhaps the most impactful reason for the implementation issues, including the recruitment of staff as it impacted UNDP CO as well as Govt and the rest of the country. This should probably be brought to the forefront” on the <i>COVID-19 pandemic restrictions.</i>	Agree! We brought it forward as requested.
6.3	50	CO: 6 month financial tranches: “The matter is being discussed with MoEFCC and also the finance wing of UNDP CO - so as to ensure smooth flow of funds in future” on the <i>Delay to disburse to and use of project funds by the target States</i>	Great! Reflect it in the management response to the report
6.3	50	CO: The IE team should take into account that the utilization of the co-finance funds, was higher than anticipated over these years, and the ease of utilization is much higher for government funds in comparison to	This comment is not relevant to this section. We consider fund utilization and government co-financing in the section 6.4. Here we speak about delays with fund disbursement as an issue that impeded the project implementation.

		GCF funds on the <i>Delay to disburse to and use of project funds by the target States</i>	
6.3	50	CO: The change in funding mechanism was brought about to avoid cumbersome procedures and to expedite the flow of funds to the states. Although it caused delay in flow of funds to the state initially, the newly adopted funding mechanism, that is direct cash advances to the target states, would help in greatly reducing the delays in future. UNDP and MoEFCC are working together, to reduce the processing time, after funding requests are received from the states” on the <i>In 2021, the newly appointed NDA proposed a change to the funding mechanism under the project. So, an amendment was made to the funding mechanism where UNDP would make direct cash advances to the three target states. This resulted in delay in the first tranche of fund transfer to the States (Odisha and Maharashtra), that were done only in October 21.</i>	Thank you! Please, include this in the management response to the report.
6.4	51	NPMU: “Onboarding of staff: As already stated the procurement of the NPMU are onboarded, state PMU staff is in very advance stage, and the quarterly fund disbursement process ins being streamlined” on the <i>The project management structure is still in the process of establishment and not fully functional yet. The National PMU was formed only in June-August 2022 and currently has 6 officers; position of the M&E Officer remains vacant. Maharashtra State PMU currently does not have a State Project Manager Communications, Monitoring & Evaluation Associate; and one District Coordination Officer. Odisha State PMU has vacant positions for Finance&Administration Officer and 3 District Coordination Officers. Andhra Pradesh State PMU has no staff at all.</i>	Thank you! We updated the paragraph about NPMU and SPMUs with information you provided. Please, see our response to the next comment below. Please, include in the management response your progress to speed up disbursement of the project funds.
6.4	51	NPMU: “WP: Detailed plan for the entire project lifetime, is under preparation, and will be ready by November 2022” on the <i>There is no detailed Work Plan for the entire project life-time with targets for Activities and Outputs.</i>	Great! Please, mention it in the management response to the report.

6.4	51	NPMU: “Annual work plan for 2022, was approved in the 2nd meeting of the National NPSC meeting held on 08.09.2022” on the <i>Annual Work Plans (AWPs) 2019, 2020, 2021, and 2022 were not approved by the National PSC as required by UNDP and GCF.</i>	Thank you! Corrected as the following: <i>Annual Work Plans (AWPs) 2019, 2020, 2021 were not approved by the National PSC as required by UNDP and GCF (AWP 2022 was approved by National PSC in September 2022).</i>
6.4	51	NPMU: AWP 2019, 2020, 2021 were given approval by the MoEFCC on the <i>Annual Work Plans (AWPs) 2019, 2020, 2021, and 2022 were not approved by the National PSC as required by UNDP and GCF.</i>	Okay, thanks! We added this remark as a footnote for the corrected sentence above
6.4	51	NPMU: Delay on inception workshop: Was later approved by Ministry as NPSC could not meet due to the following covid pandemic delays on the <i>However, a project Inception Workshop was organized only in November 2019.</i>	This comment is unclear. COVID pandemic started in March 2020 3-4 months after the Inception Workshop.
6.4	53	NPMU: An ESMF exists” on the <i>No ESMP has been produced for the entire project to monitor and mitigate social and environmental risks</i>	Yes, ESMF was produced at the project development stage in 2018. However, ESMPs are recommended by UNDP for implementation of project with Moderate SESP Risk and required for High SESP Risk projects. Moreover, the ESMF mentions “development of site specific ESMPs” and “site specific Social Inclusion Plans”. Additionally, ESMF mentions that the project should produce different plans that are usually included in the ESMP: e.g., Erosion, Drainage and Sediment Control Plan, Social Inclusion Plan, Indigenous People’s Plan.
6.4	53	NPMU: The landscape change proposed by Maharashtra was brought to the notice of the NPSC. The NPSC appreciated the need for the change and has decided to recommend it further to the GCF Sec on the <i>We did not find any adaptive management changes reported in APRs and Quarterly Reports in relations to the project landscapes, PRF targets, or activities. For example, suggested changes of the project landscapes in Maharashtra have never been reported in APRs.</i>	This is good! Please, report all proposed adaptive management changes in the APRs.
6.4	54	NPMU: “The NPSC had its second meeting on 8th September 2022. And it has been decided to hold regular meetings of the NPSC hence forth. All the vacant positions in the NPMU and SPMU will be filled up by Dec 2022. Government of Andhra Pradesh has also signed the Letter of Agreement on 09th September 2022 and therefore it is expected that in the year 2023, project activities will be implemented at	Thank you! Corrected as the following: “ <i>The project has a National PSC that held only two meetings since the project start - in August 2020 and September 2022</i> ”. “ <i>Andhra Pradesh State PMU has no staff at all, however, then Government of Andhra Pradesh signed the Letter of Agreement on the project implementation on the 9th September 2022</i> ”.

		accelerated pace” on the “ <i>The project has a National PSC that held so far only one meeting in August 2020</i> ”.	
6.4	55	Odisha SPMU: “The GCF project is being implemented by the ICZM society as per the Govt of Odisha order No 13226/FE&CC. The ICZM Society already has an apex body – State Steering Committee headed by the Chief Secretary of Government of Odisha and represented by a number of crucial line departments that provides necessary direction and supervision to the GCF Coastal project. In addition, membership of the steering committee is being updated to suit GCF coastal project including inclusion of relevant line departments and other stakeholders. The idea is not to duplicate existing institutional mechanism that is already in place to run the projects” on the “ <i>Odisha PSC has 16 members that actually represent the Steering Committee of the Integrated Coastal Zone Management Society of Orissa, but not an actual State PSC for the GCF project. The Steering Committee has never been appointed to serve as a State PSC for GCF project</i> ”.	Thank you for your clarification! We did not find documents that clearly say that the Steering Committee of the Integrated Coastal Zone Management Society of Orissa implement functions of the GCF State Project Steering Committee. It would be great to formalize the Steering Committee of the Integrated Coastal Zone Management Society of Orissa as a GCF State PSC through a decision of the State Government. Otherwise, it looks like the GCF State PSC in Odisha is informal. The State PSC implements very important functions for the GCF project, including coordination of the project activities and approval of the state work plans and reports at the state level. So, the State PSC should be a formal body with clear ToR.
6.4	55	NPMU: NPMU has requested both AP and Odisha, to include UNDPs representation in the state PSCs. Necessary modifications will be brought about soon’ on the <i>UNDP is not present in other State PSCs?</i>	Corrected as the following: <i>Currently UNDP is not present in other State PSCs, but the requests to include UNDP in the State PSCs were submitted to the State governments in 2022.</i>
6.4	56	CO: Despite of the fact that, there was a serious delay in project implementation (attributable to covid-19 pandemic and other reasons). The states had taken the initiative to implement restoration and livelihood activities, from their own funds. The quality of the work implemented by the states, were undoubtedly of high professional standards. The quality rating given by UNDP was based on the above mentioned factors on the <i>The Quality Assurance for the project by UNDP provides mainly exaggerated picture of the project quality that is not supported by the project progress.</i>	We respectfully disagree here. No any restoration and livelihood activities by the States with co-financing were reported in the APRs 2019-2021. Moreover, GCF project activities commenced in Maharashtra and Odisha States only in 2021. Additionally, QA template has a set of very specific questions including on the project progress and management. So, the project which does not have any progress and has unfunctional management cannot be rated as Exemplary.

6.4	56	CO: Already organized an orientation programme for the three states and the NPMU under the guidance of the RTA, on 1-2 September 2022	Thank you! Corrected as the following: <i>In September 2022, UNDP CO provided first orientation training session to the National and State PMU staff on the UNDP/GCF management procedures, requirements, and processes.</i>
6.4	58	NPMU: Annual work plan for 2022, was approved in the 2nd meeting of the National NPSC meeting held on 08.09.2022. AWP 2019, 2020, 2021 were given approval by the MoEFCC. Regarding small budgets in AWP 2019-2021 - owing to covid-19 pandemic delays and delay in signing of the LoAs and consequent delays in the establishment of the SPMUs	These comments have been already addressed above.
6.4	59	NPMU: As the project implementation progresses in an accelerated manner in the remaining project period, more examples of adaptive management will come to fore and would be duly incorporated” on the <i>Since the project management and implementation was very low in 2019-2022, IE team could not find many examples of the project adaptive management. For example, Maharashtra State Government requested to change two original project landscapes with another two due to their unsuitability for the project (request to MoEFCC dated on December 3 2020).</i>	Thank you! Please, reflect that in the management response to the report.
6.4	59	NPMU: There is sufficient clarity in the NPMU about DSS and Coastal Calculator Tools (CCT), these are the activities about to be undertaken as a part of the vulnerability assessment exercises. DSS is a tool , that allows to assess the conditions of a system under a varieties of scenarios and the consequences of adaptation and mitigation measures. It is helpful to integrate the relevant environmental models, database and assessment tools for policymakers and coastal managers. It can also be used for the assessment and management of multiple climate change impacts on coastal areas for better planning and adaptation. CCT is a tool which will be developed to assess to the impact of climate change on tide and extreme water levels, wave run-up levels and wave over-topping for	Thank you for that! You provide general idea of the Decision Support Tool and Coastal Calculator Tool that is reflected in the GCF project. However, it is still unclear how these ideas will be realized in practice, e.g., what modules/elements will be included in the Decision Support Tool and Coastal Calculator Tool? What is the audience for the tools?; What software will be used for the tools? Do we have working examples of similar tools in India or abroad that we can use as the prototypes for the suggested tools? What are requirements for the tools? The GCF project document does not provide clarity on the tools, just an idea... So, the project team has to find out if the tools are really needed, and if yes, develop clear requirements and ToRs for their development. It may take some time. We provided some recommendations for the Decision Support Tool.

		specific coastal locations on the <i>Additionally, through interviews with National and State PMU staff the IE team found uncertainty on some of the project activities (e.g., Decision Support Tool (Activity 1.1) and Coastal Calculator Tool (Activity 3.2))</i>	
6.4	60	CO, could you see why this is? 2020 and 2021 both have expenditures >\$200,000 and my understanding is audit would have been required? (sorry if my understanding is incorrect)	The IE team was not provided with audit reports despite our request.
6.4	64	Odisha SPMU: “A meeting was convened between IE team and the District Collector, IAS of Kendrapara. The district collector also chairs the District Level Coordination Committee” on the “ <i>IE team could meet representatives of the district governments in both states and confirm their awareness and involvement in the project activities.</i> ”.	Thank you for your clarification! Added as a footnote for this sentence.
6.4	61	NPMU: A Social and Environmental Safeguards International Specialist- for the GCF coastal project India will be onboarded by 1st of October 2022 from the UNDP Regional Office and will develop the Gender Action Plan in association with the National PMU’s Social and Environmental Safeguards Officer and support the establishment and structuring of the Grievance Redressal Mechanism (GRM) for the project as well. For the time being the State PMUs do not have their own gender plans and use the original project plan developed in 2019 and serve as GRM centers for their respective target landscapes. From 1st July 2022, the National PMU has a Marine Biodiversity Specialist, a Climate Adaptation Expert and an Environmental and Social Safeguards Officer, who will work with the State PMUs to setup mitigation activities against all the activities undertaken in the target landscape, by developing the Biodiversity Action Plan, Stakeholder Engagement Plan, Indigenous People Plan, with support from the International Consultant” on the <i>Quality of the project M&E plan and its relevance to the Outcomes, Outputs, and Activities</i>	Thank you! This is great! You are moving fast. Please, reflect it in the management response to the IE Report.

6.4	67	NPMU: This is incorrect. RFP has been released for onboarding national agency. Entries received for submission. Process for final agency selection is going on” on the <i>The project does not have a Communication Strategy yet (it is still under development by the Dusty Foot company).</i>	Thank you for your clarification! Corrected as the following: <i>The project does not have a Communication Strategy yet (the process to select an organization for the strategy development will be completed in September 2022).</i>
6.5	69	NPMU: “The coral restoration works are happening only in Maharashtra, where there are no trawler operations in the reef area. There is no collection of seaweeds or anchoring of fishing boats in Maharashtra. The observations of the IE team maybe true of other areas like the Gulf of Mannar” on the <i>“In the case of coral reefs and seagrass, the biggest risk is the operation of trawlers in the areas, that poses risks from economic and social angles. The coral reefs are considered a ground for anchoring small fishing boats and collection sites of seaweeds. Though the magnitude of these small-scale economic activities is small, it may affect the restored and natural coral reefs and seagrass beds if the management and protection is insufficient. Seagrass beds are also under the risks of converting into shrimp farms”</i>	The paragraph on socio-economic sustainability relates to mangroves, coral reefs and seagrass beds. The particular point on which the we made our comment is related to the impact of trawlers both on corals and seagrass beds. As indicated in Annexure XIII (i) – Restoration and Livelihoods and Activities per Landscape of the Funded Activity Agreement, coral reef restoration is restricted to Devgad site in Sindhudurg district of Maharashtra. As indicated on page 74 of the Feasibility Study of this project, 317 trawlers are being operated in Sindhudurg coastal area alone. In the report on Assessing the current status of the coral reef ecosystem and formulating a long-term monitoring protocol for Sindhudurg coast, Maharashtra, which was prepared GEF-UNDP project “Mainstreaming Coastal and Marine Biodiversity Conservation into Production sectors in Sindhudurg Coast in Maharashtra (2011–2016)” by the Zoological Survey of India, it is mentioned, “ <i>It was viewed by the boat owners/tourist operators during the interaction meeting held in February 2015 at Malvan in the GOI-UNDP-GEF-Sindhudurg Project Office coral watch tourism has been tremendously increasing and the numbers of tourists to Malvan are increasing every year and thereby increase in the number of boats. During peak season, on a single location (Tourist Points adjacent to Malvan fort), at one point of time, more than 15 boats are anchoring and that force the boat owners/tourist operators to anchor their boat right on the coral beds, although they tend to avoid anchoring on any coral directly</i> ”. Hence, our comment that trawling and anchoring of fishing boat may affect sustainability of restored coral is valid. See also Note 2 below. “collection sites of seaweeds” was removed from the sentence.
6.5	69	Odisha SPMU: “Existing CBOs, EDCs are being reinvigorated. With the inclusion of NGOs in the coming months will further strengthen the linkages with the last mile communities in terms of project planning, implementation, and monitoring” on the <i>“The local people are considered only a beneficiary of the project output, not project partners”</i> .	Thank you! This is the right way forward.
6.5	71	NPMU: “Mussels are in great demand in many parts of the country, particularly in states like Kerala and Goa” on the following <i>“Additionally, some of the livelihood</i>	Thank you! Corrected as the following:

		<i>options the project plans to develop (e.g., smoked fish and mussels farming facilities) have no markets in India and can be financially unsustainable”.</i>	<i>“Additionally, some of the livelihood options the project plans to develop (e.g., smoked fish) have no markets in India or in the target states and can be financially unsustainable”.</i>
6.5	74	NPMU: In Maharashtra many government research organizations have forged partnership with the Mangrove Cell and Mangrove Foundation in implementing the livelihood activities. For example, Central Marine Fisheries Research Institute (CMFRI) is involved in mussel and oyster farming; Rajiv Gandhi Centre for Aquaculture (RGCA) under the Marine Products Export Development Authority (MPEDA) is involved in promoting crab farming, Central Institute of Brackish Water Aquaculture is involved in brackish water cage culture and Central Bureau of Fish Genetic Resources is guiding the ornamental fisheries part on the <i>“Partnership with government and private research organizations is also not up to the mark”.</i>	Thank you for your kind explanation! However, here we are talking about the partnerships established by the GCF project, not all partnerships between the government and NGOs and research centers. So, we corrected the sentence as the following: <i>“Project partnership with government and private research organizations is also not up to the mark”</i>
6.7	80	NPMU: The National PMU has 3 females out of 7 officers now’ on the <i>National PMU has 2 females out of the 7 officers now.</i>	Thank you! Sounds good! Corrected as requested.
6.11	87	NPMU: Mention of PMU may be removed’ on the <i>“The project PMUs and PSCs are strongly dominated by males”</i>	This is not clear. Why we need to remove it? This is the fact we observed and it does not have serious implication on the project. PMUs and PSCs are strongly dominated by men.
7.1	89	NPMU: “No target issue with mangroves?” On the recommended changes of targets for the Output 1 Indicator: Numbers of hectares of coastal ecosystems disaggregated by type – that are successfully restored to reduce the impact of climate induced disasters and other climate change impacts	The IE Team did not find serious issues with restoration targets for mangroves. In Maharashtra (there the issue was raised) the State PMU currently focus on the restoration of mangroves on the areas with zero mangroves cover. If the areas with low mangroves cover (less than 30%) are included in the restoration activities, Maharashtra should achieve its mangrove restoration target for GCF project. Desilting natural canals where mangrove is degraded can be adopted by the Maharashtra as an additional activity to achieve their restoration targets. Odisha did not raise any concerns on the mangrove restoration target.
7.1	89	NPMU: “A detailed study is commissioned by Maharashtra state PMU to the National Institute of Oceanography (NIO) regarding coral transplantation work. It would to be better to wait till the report of the study is available before freezing the coral transplantation target” on the suggestion to adjust the project restoration target for coral reefs.	Yes, please. We hope you will receive the report in 2022. The IE team cannot wait for the report, so we suggested to adjust the coral reef restoration target based on our experience. This recommendation is still valid. However, the project team may accept this recommendation or ignore it.

7.1	90	NPMU: “Please refer to earlier comment on salt marshes” on the “ <i>Salt marshes recommended EOP Target: 20 ha</i> ”	The recommendation is still valid, however, this is up to the project team to accept or ignore it. We gave you our reasons, concerns and recommendations as required by the IE procedure.
7.1	91	CO: “This needs proper justification” on the “ <i>Recommended EOP Target: 250,000 people practicing adaptation livelihood</i> ”	The following justification was provided for this recommendation: <i>“Justification: under the Output 2 the project targets to train and support only 348,994 people on adaptation livelihood (Output 2 Indicator). This is very ambitious target for the project. Also, given our experience with other similar GCF and GEF project many local people supported on new adaptation livelihood options may stop practice them after the project support is over. So, from 348,994 people the project directly support and train on adaptation livelihood we can expect ~30% to drop off from the new options and come back to traditional ones due to different reasons, like low profitability, high labor intensity, lack of sufficient markets, or lack of funds to support new livelihood options. Given all that the original target of 1,744,970 people practicing new adaptation livelihood options by the end of the project is absolutely unrealistic. For example, during the IE of the UNDP/GCF project “Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda Project (PIMS 5711/FP034)” in 2021 in Eastern Uganda 56.8% of the respondents (people who were supported with adaptation livelihood options in the project framework) confessed they gave up the livelihood options provided and went back to the wetland for agriculture; 67.9% of the project adaptation livelihood beneficiaries in Kibuku districts said they are not satisfied with the livelihood options they received as an alternative. So, it makes sense to be conservative in setting of adaptation livelihood targets”.</i>
7.2.	91-92	CO: Could the recommendations 4.2.2 through to 4.2.5 be combined as they are all inter-related to work planning improvements? Less recommendations will make the response and monitoring of the recommendations easier for the project	Yes, please. We joined 7.2.2 and 7.2.5 (numbering of the recommendations was corrected) as requested. However, we still expect management response to each point we highlighted in the recommendations
7.2.	91-92	CO: Already organized an orientation programme for the three states and the NPMU under the guidance of the RTA, on 1-2 September 2022” on the <i>Recommendation 4.2.3. By December 2022 UNDP should provide a training session to the National and State PMUs on the planning and reporting standards focusing on issues in previous Quarterly Reports, AWP and APRs that slow down the process of their approval and quarterly funds transfers to National and State PMUs.</i>	Thank you! We added this as a footnote. Please, include that in the management response.
7.2	93	CO: Could this recommendation be linked to the Stakeholder engagement and perhaps delivered	Yes, the Project Stakeholder Engagement Plan should be updated for that. We added the following to this recommendation:

		through update and detailing out of the Stakeholder Engagement Plan for the project? <i>On the Recommendation 7.2.6. To fast-track delivery of the project activities in 2022-2025 (or 2027 if the extension approved) the State PMUs should fully involve working potential of NGOs (Output 2) and local communities (Output 1).</i>	<i>For that the National and State PMUs should update the project Stakeholder Engagement Plan, including Stakeholder Analysis for the project landscapes.</i>
7.2	94-95	CO: Could the recommendations 4.2.7 through 4.2.9 be combined to reflect as either updates/preparation of a detailed Monitoring and Evaluation Plan for the project as well as through the MYWP as recommended above?	No, these are specific and technical recommendations to support and fast-track delivery of the project activities and outputs. These are separate from M&E Plan and Multi-year Work Plan recommendations.
7.2	95	Odisha SPMU: No recommendation provided on achieving the seagrass target in Odisha in the MTR. The same may be provided in the next draft	Thank you! Seagrass restoration recommendation has been added to the Recommendation 7.2.7, pp. 95-96. See also Note 3 below.
7.2	95	Maharashtra SPMU: “• There is a demand from the community to include livelihoods activities which are not listed in the project such as Horticulture, Mushroom Cultivation and some non - farm activities for enhancement of income of the community. The Project Should do the Participatory Assessment of Livelihoods options and see if the proposed activities contribute to Climate adaptation and if it is not a major change it should be included. • The GCF funds for the Livelihoods are mainly on stakeholder engagement, capacity building and technical assistance whereas cost of equipment’s and infrastructure is expected from the co-finance. The project can do the assessment of the GCF funds available for the livelihoods activities and if there are surplus funds over and above the proposed funds required for stakeholder engagement, capacity building and technical assistance based on this assessment project can allocate some GCF funds for procurement of critical inputs for the proposed livelihoods option” to add as recommendations under the Recommendation 7.2.8	Thank you! Added as the following under the Recommendation 7.2.8: • <i>The project team should not be fixed only on the adaptation livelihood options mentioned in the GCF prodoc. There is a demand from the communities in the project landscapes to include other adaptation livelihoods activities in the project, such as Horticulture, Mushroom Cultivation and some non-farm activities for enhancement of income sources of the communities. The project team should conduct participatory assessment of livelihoods options in the landscapes and apply the options that contribute to local adaptation and have markets even if the options are not mentioned in the project document;</i> • <i>The GCF funds for the Output 2 (Adaptation Livelihoods) are mainly on stakeholder engagement, capacity building and technical assistance, whereas cost of equipment’s and infrastructure is expected from the co-finance. Key Output 2 activities are budgeted as Contractual Services (Organizations) that allow a lot of flexibility on the expenditures. So, some funds under the Output 2 from GCF budget can be allocated for procurement of critical inputs for the proposed livelihoods option (like equipment, seeds, simple construction) if the project team does not need all the funds for capacity building activities (e.g., trainings, meetings, exchange visits);</i>
7.3	96	CO: These can be combined as one recommendation? On the Recommendations 4.3.1 and 4.3.2.	Yes, it has been combined. However, we expect management response on each of these points.

		CO: Could some of the recommendations on project governance, including National/State PSCs be combined ? <i>on the Recommendations 4.3.5-4.3.9</i>	No, all these recommendations reflect different issues and cannot be combined.
7.3	96	CO: Repetition of some of the recommendations above on the <i>Recommendation 4.3.6. Similarly to the project planning, project annual and quarterly reporting should be more detailed with explanation what was achieved in each of the project landscape and detailed description of the project expenses against each activity</i>	No, this is not quite correct. The previous recommendation was on the work planning. This one is for project reporting.
7.4	99	CO: As required? On the <i>Recommendation 4.4.1. National PMU should organize the Environmental and Social Impact Assessment (ESIA) in the project landscapes and produce the Environmental and Social Management Plan (ESMP) by March 2023 to guide the project implementation.</i>	ESMP is not a requirements for UNDP SES Moderate Risk Project, however, it is recommended. Moreover, project ESMF mentions development of different plans: Erosion, Drainage and Sediment Control Plan, Social Inclusion Plan, Indigenous People's Plan. All of that can be combined in the ESMP.
7.4.	99	CO: Could these be combined to state that the Gender Action Plan be updated/monitored including budgets? On the recommendations 4.4.2 and 4.4.3	Yes, we can combine these two recommendations. However, we still want to bring the project team attention to different aspects of this recommendation. Combined in one recommendation.
8	99	Odisha SPMU: "All relevant annexures of the MTR may be shared with SPMUs" SPMU	Yes, of course. IE Report Version 2 includes all relevant annexes.

Notes:

1. **Salt marsh:** The term "salt marsh" was introduced in the CRZ Notification in 2011 only. Till then, no scientific literature in India and Government policy and administrative orders claimed the presence of salt marshes in India since salt marsh ecosystem with grass as climate community restricted only to high altitudes (temperate climate as the distribution of mangroves to tropical zone). The Report on Coastal Zones of India published by the Space Application Centre in 2011 mentions regions that are dominated by halophytes, such as *Suaeda* spp., and *Salicornia* spp., as salt marshes. It is not technically correct because these species are present only as transition species and do not represent a climax community. In the same report, it was mentioned that some of the salt marshes, mangroves such as *Excoecaria agallocha* and mangrove associates like *Acanthus ilicifolius* were present in large numbers. The presence of mangroves among halophytes indicates in an area indicates that area is a transition zone rather than an area with a climax community. Available literature in the public domain also shows the swampy areas with halophytes interspersed with mangroves, such as *Excoecaria agallocha* and mangrove associates like *Acanthus ilicifolius* considered salt marshes. The Tamil Nadu Forest Department is planning to undertake a mangrove plantation in one of the swampy areas identified as a salt marsh in scientific literature.

All these indicate that it is not clear what we mean by "salt marsh". In some cases, unconsolidated mudflats, which are moist and inundated by daily tides and with grasses like *Porteresia coarctata* are considered salt marsh. In some other cases, consolidated mudflats, which become dry and hypersaline in the summer and vegetated with *Suaeda and Salicornia*, are considered salt marsh. In some other cases, semi-consolidated mudflats with different types of vegetation, including mangrove associates, are considered "salt marshes".

Practical consideration: Though the presence or absence of salt marshes in India may be a subject to scientific discussion, the following practical points should be considered by the project before starting large-scale salt marsh "restoration" activities. In the proposal, it is mentioned that the following activities would be taken up to restore salt marshes:

- Restoration of tidal flushing regime
- Removal of sediment from the salt marsh area
- Planting of saltmarsh species such as *Salicornia* spp and *Spartina* spp
- Removal of invasive species

All these activities are predetermined, which may be or may not be correct or sometimes may cause negative impact on salt marshes and adjacent ecosystems. For example, removal of sediment. How much is going to be removed? Where removed sediment will be dumped? Will it cause any impact on the environment and biota (for example dumping sediment in a mudflat rich in soil fauna may affect soil faunal biodiversity) Hence, the following points are suggested:

- Define what we mean by a salt marsh (unconsolidated and less saline mudflats with vegetation, semi-consolidated and less saline or moderately saline mudflats with vegetation or consolidated and hypersaline areas with halophytes and or all). This may be done by the National Project Management Unit in consultation with scientific institutions such as NCSCM of the MOEFCC (for biodiversity), NCCR of the MOES (for physical, geological and hydrological related matters).
- Demarcate and map salt marshes in the project state. This should be done jointly involving scientific institutions and Forest and Environment Department of the project state.
- Define what we mean by degraded salt marsh and quantify areas that are degraded - Joint exercise by SPMU with scientific institutions
- Identify causes of degradation – Joint exercise by SPMU with scientific institutions
- Identify activities to remove the causes of degradation and implement the restoration activities – SPMU

2. Threats for coral reefs: (1) The paragraph on socio-economic sustainability relates to mangroves, coral reefs and seagrass beds. The particular point on which we have made our comment is related to the impact of trawlers both on corals and seagrass beds. (2) As indicated in Annexure XIII (i) – Restoration and Livelihoods and Activities per Landscape of the Funded Activity Agreement, coral reef restoration is restricted to Devgad site in Sindhudurg district of Maharashtra. (3) As indicated on page 74 of the Feasibility Study of this project, 317 trawlers are being operated in Sindhudurg coastal area alone (para from the Feasibility Study is reproduced below).

Mainstreaming Coastal and Marine Biodiversity Conservation into Production sectors in Sindhudurg Coast in Maharashtra (2011–2016, GEF US\$3,438,294 and US\$12,000,000 cofinancing)

“The Sindhudurg Coastal and Marine Ecosystem (SCME) is an economically important fish landing centre and has a rapidly growing tourism industry. The primary drivers of ecosystem degradation in the SCME include unsustainable fishing by trawlers, an expanding tourism sector and pollution from fishing vessels and other maritime traffic. The UNDP-supported GEF funded project in Sindhudurg, in partnership with the Ministry of Environment, Forest and Climate Change and Government of Maharashtra, aims to address these challenges through partnerships with different sectors to improve livelihoods of coastal communities through sustainable fishing, agriculture, horticulture, small-scale aquaculture, value addition to fishery operations and eco-tourism activities. The notable achievements of the project so far include: i) the establishment of a Mangrove and Coastal and Marine Biodiversity Conservation Foundation in the state of Maharashtra which will ensure continuation of the key activities of the project; ii) the adoption of improved fishing methods by 317 trawlers in the Sindhudurg district”.

In a report on Assessing the current status of the coral reef ecosystem and formulating a long-term monitoring protocol for Sindhudurg coast, Maharashtra, which was prepared for above mentioned GEF-UNDP project by Zoological Survey of India, it is mentioned, “It was viewed by the boat owners/tourist operators during the interaction meeting held in February 2015 at Malvan in the GOI-UNDP-GEF-Sindhudurg Project Office coral watch tourism has been tremendously increasing and the numbers of tourists to Malvan are increasing every year and thereby increase in the number of boats. During peak season, on a single location (Tourist Points adjacent to Malvan fort), at one point of time, more than 15 boats are anchoring and that force the boat owners/tourist operators to anchor their boat right on the coral beds, although they tend to avoid anchoring on any coral directly”. Hence, our comment that trawling and anchoring of fishing boat may affect sustainability of restored coral is valid.

3. Seagrass restoration: Seagrass restoration is restricted to the Chilika-Ganjam landscape in the district of Ganjam in Odisha. The project document indicates two methods would be followed to restore seagrass: i) on-site seed planting and ii) transplanting seedlings or mature plants from the donor sites. The MTR mission had no opportunity to visit the site. But the discussion with the SPMU and NPMU staff indicated that the species present in the Chilika lake are of small size (very few cm in height), and thus, collecting and transplanting them manually is time-consuming and costly. Thus, it would be difficult to restore 85 ha (final project target) following the seed planting and transplantation method. Secondly, an increase in the area of seagrass beds in Chilika lake (from 2,000 ha in the year 2000¹ to 8,000 ha in 2014 and 15,200 ha in 2017²) happened mainly due to creating suitable environmental conditions by connecting the Chilika lake and the sea by establishing a new canal (mouth). The removal of shrimp farms, which encroached on the areas which are suitable for seagrass colonization, is another important reason for the rapid increase in the seagrass cover in Chilika lake.

¹ Priyadarsini Pati et al (2014). Studies on Seagrasses in relation to some Environmental variables from Chilika Lagoon, Odisha, India. International Research Journal of Environment Sciences Vol. 3(11), 92-101.

² Chilika Development Authority (2017). Chilika Lake: Ecosystem Health Card Report 2017-2018.

In the light of the above discussion, the SPMU may follow the process advocated in the UNEP guidelines on the restoration seagrass ecosystem³ may be followed:

- Prevent ongoing loss and reverse the degradation of seagrasses by addressing the drivers of decline (encroachment by shrimp farms, operation of mechanized boats in the seagrass bed areas etc.)
- Assist natural regeneration (stabilize the substrate on which seagrass grows, trap new recruits of seedlings and facilitate the successful establishment of those seedlings, restoration of tidal exchange etc.)
- Identify and overcome seagrass recruitment bottlenecks.
- Active restoration by planting.

Before going into the above-mentioned actions, the process suggested in the Feasibility Study may be adopted for successful seagrass restoration:

- identify interventions goals regarding seagrass coverage, species composition and ecological function of restored seagrass ecosystems;
- co-ordinate permitting processes to reduce delays in the review and approval process;
- preserve genetic diversity – choose transplant stock from a variety of widely-distributed seagrass ecosystems;
- undertake surveys and site selection to ensure that existing environmental conditions favour seagrass restoration
- develop baseline maps as part of the fine-scale assessment that is recommended during the first phase of implementation;
- implement monitoring programmes that can be incorporated into the decision support tool;
- reduce human impacts on seagrass ecosystems and create connectivity and protect multiple seagrass communities;
- design marine protected area networks which include other adjacent habitat types; and
- raise public awareness of the value and threats to seagrass ecosystems

Considering all these, the SPMU can decide on a) how much area can be restored by on-site seed planting and transplanting seedlings or mature plants and b) how much area can be restored through facilitating natural regeneration in degraded seagrass beds. Restoration of seagrass should be taken up only with the active and genuine participation of the community. A village-level institution such as Seagrass Co-management Committee should be formed in the participating villages. The structure, roles and responsibilities and functioning of these committees can be similar to village-level institutions advocated in the JFM guidelines. The process followed in JFM should also be followed in the establishment and day-to-day functioning of these committees.

³ UNEP (2020). UNEP Guidelines for Seagrass Ecosystem Restoration in the Western Indian Ocean Region

Annex 9. GCF Comment- IE Response Matrix on the first version of the IE Report

Assessment considerations (organized by Evaluation Principles in GCF's Evaluation Policy)	Comments	Evaluator Response
OVERALL ASSESSMENT	<p>In overall, the information in the report has been well articulated according to the flow and structure of the evaluation's objectives and purpose with detailed discussions and evidence-based conclusions. However, the report could be further improved by addressing all the comments provided and these general observations listed below:</p> <p>Proof reading, editing, formatting and spelling are required</p> <p>Numbering of the headers and sub-headers need to be rearranged</p> <p>More alignment of findings to conclusions and recommendations</p> <p>Many instances where the evaluation findings are combined in the project description and background, which is supposed to describe the project itself, not the results or progress. The results or progress or the evaluation findings should be discussed in the findings section. For example, the table 1 on page 27, para 2 under the sub-section 2.4,</p> <p>Ensuring that all recommendations are time-bound</p> <p>Attaching necessary annexes</p> <p>Given the fact that the project has experienced extremely low progress against the targets per output, the IE should rank prioritization of all recommendations so that the PMU, UNDP, and relevant stakeholders should be able to take immediate actions in a very timely manner together with their evaluation management response.</p>	<p>Thank you for your comments! We tried to address all of them below. All relevant recommendations were made time-bound. However, some of the recommendations answer the question How some of the project activities can be done in the most efficient manner. So, for these recommendations we cannot suggest recommended timeframes.</p> <p>Thank you! This is a good idea. We ranked all recommendations as High and Medium Priority. Specifically IE team tried to give mainly High Priority recommendations to the project team to fast-track the project implementation.</p>

1. IMPARTIALITY, OBJECTIVITY, AND BIAS MITIGATION		
<p>Independent roles and responsibilities</p> <ul style="list-style-type: none"> Are the roles and responsibilities of the stakeholders involved (e.g., commissioner, evaluator, NDA, EE, etc.) in the evaluation and how this delineation of roles facilitated/impeded on the evaluation's independence are clearly described. Is it clear who undertook the evaluation and how it was undertaken? <p>QA processes</p> <ul style="list-style-type: none"> Is there an independent quality assurance process put in place either by the independent evaluator or the commissioning AE? <p>Mitigation of bias</p> <ul style="list-style-type: none"> Did the evaluation report confirm how it ensured that the various aspects of its evaluation, such as design, framework, data collection, analysis, findings, conclusions, and recommendations are free from external influence and bias? 	<ol style="list-style-type: none"> Besides the details of who the evaluation team met and interviewed as part of the data collection, there is no evidence indicating different roles and responsibilities or governance structure of this evaluation. Suggestion: Please clearly tabulate stakeholders engaged in this evaluation process as well as their roles and responsibilities. The report clearly indicate who carried out the evaluation. There is no evidence indicating an existing of quality assurance mechanism is put in place, except the data triangulation. Suggestion: Please include another sub-section under the methodology section to explain the quality assurance mechanism. Please also annex Evaluation ToR, Evaluation Inception Report, and another required ones. 	<ol style="list-style-type: none"> Thank you! Stakeholders that were selected for this IE with their mandates and roles in the project are described in the <i>Annex 2. List of project stakeholders for the IE mission</i>. Stakeholders actually interviewed during the IE mission are included in the <i>Annex 6. List of Stakeholder Interviewed during the IE mission</i> Thank you! This is noted. Agree. Section 4.4. IE Quality Assurance has been added to the report. P. 23 The following Annexes has been added to the IE Report: <ul style="list-style-type: none"> Annex 1. Updated Project Theory of Change Annex 2. List of project stakeholders for the IE mission Annex 3. IE field mission schedule Annex 4. IE Evaluative Matrix Annex 5. General Questionnaire for Stakeholder Interviews Annex 6. List of Stakeholder Interviewed during the IE mission Annex 7. List of Documents and Other Sources Used by the IE Annex 8. Project Team Comment- IE Response Matrix on the IE Report Annex 9. GCF Secretariat - IE Response Matrix on the IE Report Annex 10. IE Inception Report Annex 11. IE Terms of Reference

5. RELEVANCE, USE AND PARTICIPATION		
<p>A. Relevance</p> <ul style="list-style-type: none"> • Did the report provide adequate description of the intervention to be evaluated? • Did the product adequately describe and analyse the logical framework and theory of change? <p>B. Use and participation</p> <ul style="list-style-type: none"> • Was there a well-defined dissemination and knowledge management plan, which identifies target users and specific ways to reach them? • Does the timing of the evaluation maximized benefits for stakeholders and encourage participation of relevant stakeholders? • Have issues of gender equity and participation at all levels been considered in selection of stakeholders? 	<p>6. The report clearly explained the evaluation subject, its evaluation scope, and indicated evaluation areas as well as detailed focus.</p> <p>7. The evaluation looked both the logical framework and the ToC, and even had reconstructed the ToC for the evaluation in a participatory process, however, the report has not been attached with that reconstructed ToC yet. Suggestion: Please annex the reconstructed ToC to the report, clearly showing changes from the original ToC</p> <p>8. We note some changes in the Project logframe (Table 1) e.g. in output 2, decrease by 10% in female target compared to design/FAA targets. No mention of 15% heads of households. Please highlight any changes in targets vis a vis original logframe and provide justification for changes.</p> <p>9. There is no evidence indicating how the evaluation report will be disseminated to encourage its utility. Suggestion: explain how the evaluation report will be disseminated to increase its effective utility in the recommendation section.</p> <p>10. The report indicated that 135 stakeholders were interviewed, and only 33 of them were female. Suggestion: Please explain why only about 24% of the interviewees were female? With this regard, how the evaluation could ensure that the findings and recommendations reflect no gender bias?</p> <p>11. In the methodology section, the report indicated that the project's results chain and ToC were reconstructed by the consultants. Please clarify to what extent the project</p>	<p>6. Thank you!</p> <p>7. Thank you! The reconstructed ToC for the evaluation purposes is shown in the Annex 1. Updated Project Theory of Change</p> <p>8. Yes, you are right. The percentage of women under Output 2 should be 60%, not 50%. We corrected that in the Table 1. We used reconstructed ToC described in the Table 1 to evaluate the project Effectiveness and the likelihood that the project Outcomes will be achieved during the project lifetime given the current effectiveness (2019-2022). For the Outcome 2 we focused on the total number of stakeholders practicing adaptation livelihood that are likely to be achieved by the project without consideration of share of women among them and number of women-led households. However, we considered percentage of women and women-led households for the project Outputs 1 and 2 in the section 6.7. Gender Equity.</p> <p>9. We added the following to the section 4.1. Purpose of the Interim Evaluation: <i>"The IE Report will be published and made available for public by GCF and UNDP. National and State PMUs will distribute the report among the project partners and stakeholders during project meetings and events"</i>.</p> <p>10. After final calculations of the project stakeholders interviewed (Annex 6. List of Stakeholder Interviewed during the IE mission) this sentence was corrected as the following: <i>In total the evaluation team interviewed 105 people (52 females and 53 males) through remote (via Skype and Zoom) and in-person individual interviews and focus</i></p>

	PMU and the evaluation manager have been consulted on the process and the outputs?	<p><i>groups in Mumbai, Bhubaneswar, New Delhi, and project landscapes</i></p> <p>Thus, surprisingly we have almost equal number of women and men participated in the IE mission.</p> <p>11. Reconstruction of the project ToC was made using slightly rephrased Outputs, Outcomes, and Impacts and same Indicator values as in the PRF. The reconstruction was based on the analysis of the <i>SMARTness and relevance of Impact, Outcome and Output indicators</i>, in the Table 3. Analysis of the Project Strategy, pp. 39-41. So, we did not added any new indicator values. The revised ToC and analysis of the project Effectiveness based on the ToC was discussed with National PMU after submission of the first draft of the IE report.</p>
12. CREDIBILITY AND ROBUSTNESS		
<p>A. Evaluation questions</p> <ul style="list-style-type: none"> Do the evaluation questions address GCF's evaluation criteria? Are the questions sufficiently specific and address the evaluation objectives? 	Comments are pening the submission of evaluation matrix	<p>Please, see Annex 4. IE Evaluative Matrix</p> <p>Annex 5. General Questionnaire for Stakeholder Interviews</p>
<p>B. Evaluation protocol/approach/matrix</p> <ul style="list-style-type: none"> Was the evaluation based on a clear protocol, approach, or evaluation framework/matrix? 	Comments are pening the submission of evaluation matrix	<p>Please, see Annex 4. IE Evaluative Matrix</p> <p>Annex 5. General Questionnaire for Stakeholder Interviews</p>
<p>C. Evaluation methodology</p> <ul style="list-style-type: none"> Is the proposed methodology adequately explained and justified? Can they address the evaluation questions satisfactorily? Does the methodology allow for the complementation of quantitative and qualitative methods and triangulation of data and sources? If not, is there an explanation for this? Did it identify any methodological limitations and explain their impact on the 	<p>13. The methodology was clearly explained and detailed per selected evaluation criteria, as well as a proper process to identify stakeholders for interviews. However, there is no information on how the site visits were selected. Suggestion: Please clearly explain how the three sites were chosen?</p> <p>14. The report indicated that 135 stakeholders were interviewed, and only 33 of them were female. Suggestion: Please explain why only about 24% of the interviewees were female? With this regard, how the</p>	<p>13. Thank you! The following has been added to the section Data Collection Methods, p. 22:</p> <p><i>The project landscapes were selected based on (a) the presence and number of the project activities (ideally both - under Output 1 and Output 2, see Annex 2: Project activities by target landscapes by July 2022 in the IE Inception Report) and (b) availability during the monsoon season in India.</i></p>

<p>quality of the evaluation, as well as way to mitigate them?</p>	<p>evaluation could ensure that the findings and recommendations reflect no gender bias?</p> <p>15. Please also clarify to what extent the evaluation has benefitted the interim reports produced by the project as well as other monitoring data, and provide an assessment of these secondary data.</p> <p>16. Under the sub-section 4.3 (page 22), conclusions and recommendations, the report wrote “<i>Special discussions were conducted with the project team, UNDP, and GoI to improve the project implementation in accordance with the evaluation recommendations</i>”, please clarify what does this mean? Is it for the development of evaluation management response, or how?</p> <p>17. The report documented four limitations; however, there is no evidence indicating how the IE team managed to navigate around these limitations to ensure adequate data collected for proper analysis. Suggestion: Please indicate how the evaluation team responded to these limitations.</p>	<p>14. This was already explain under the comment #10 above.</p> <p>15. The project APRs, Quarterly Reports and other documents were used during the desk top review. However, the APR and Quarterly Reports were not extremely helpful to evaluate the project progress, because the key project activities were implemented in 2022 and have not been addressed in the project reports yet. So, the data on delivery of the project activities and Outputs were collected during the IE mission through consultations with the State PMUs and local communities. No other monitoring data have been produced by the project yet.</p> <p>16. The discussions were held with UNDP, National and State PMUs, and communities on how we can improve the project performance in the most efficient way. Thus, the IE team generated a number of recommendations through the discussions with stakeholders and other recommendations were added based on the IE team experience with other projects. Additionally the discussions were used to clarify the project findings, request additional information, and fill omissions in the findings. And of course the project team can use the results of our discussions to draft the management response.</p> <p>17. Please, kindly understand that we reported the limitations because they are beyond the IE Team control. These are the factors the IE team could not overcome, that is why we call them the limitations. These limitations just need to be taking in account while using the evaluation findings and recommendations. Thus, the team honestly reported the factors that were not under their control.</p>
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<p>D. Analysis and recommendations</p> <ul style="list-style-type: none"> • Did the evaluation use high-quality independent and relevant data and independent analyses? • Are the recommendations fit-for-purpose and useful for the primary users of the evaluation? 	<p>18. The conclusions and recommendations need to be better connected and reflected with the findings. It would also be useful to further analyse the root cause of the main challenges, and have very targeted recommendations to address them or else the issue will persist. In some cases, they left key findings untouched. For example, the findings under “project strategy” (sub-section 3.2) indicated that the ToC does not directly correspond to the results statements within the PRF, and some sub-activities required further clarifications., etc. but these were not related to the conclusions and recommendations at all; . Again, this is just one example, but there are other instances in the report that required more work.</p> <p>19. Project complexity is mentioned severally as challenge. The would benefit from further deconstruction, and specific recommendations provided to facilitate implementation.</p> <p>20. Under Section 3.2, it is stated that in” 2021-2022 the project had a few “negative” unexpected results. However, the unexpected results have never been reported in the project quarterly or annual reports.” . Please provide some detail in the report.</p> <p>21. The report stated mentions that the , Maharashtra State Government had requested changes to wo original project landscapes with another two due to their unsuitability for the project. Please provide more information on this and how it has been/will be addressed. Its an important asspct of project ownership by Government and may have implications on project implementation progress if Government requirements are not addressed.</p> <p>22. To increase relevance and utility of recommendations, it is advisable to ensure that they are not just specific, but also time-bound. This is also acknowledging that a couple of recommendations have been attaching with timing.</p>	<p>18. Please, look at the section 7. Conclusions and Recommendations of the IE Report. All conclusions and recommendations are grouped in 4 sections relevant to the findings that were used to derive these conclusions and recommendations, namely Project Strategy, Effectiveness, Efficiency, and Progress towards Results; Project Implementation and Adaptive Management, and Gender Equity. Findings are clearly described it he relevant sections by criteria. The key challenges and their rout causes are described in the subsection <i>Key Barriers in Delivery of the project Activities and Outputs</i>, pp. 50-51. If you need more information on the challenges, please, provide specific recommendations on each challenge and we will be happy to discuss and address them after the report submission.</p> <p>Under the IE ToR in the section 5.11 we have the following limit on the number of recommendations: <i>The IE team should make no more than 10 recommendations total.</i> So, we focused on the most important recommendations that can help to fast track the project implementation and already provided more than 10 recommendations in the report.</p> <p>Yes, you are correct that not everything we found was used for the recommendations, but only the most important findings to allow the project to progress right after the IE mission. For example, this is not urgent and critical for the project team to review the ToC and bring it in accordance with PRF. So we did not recommend it to the project team. The most critical recommendations for the PRF are reflected in the section 7.1. Project Strategy conclusions and recommendations.</p> <p>Regarding sub-activities that require clarification we provided specific recommendations 7.2.4-7.2.6 for the project Outputs, where we suggested the IE team vision for many of the project sub-activities that are not yeat completely clear.</p> <p>But if GCF requests more recommendations for the project, let’s have a call and discuss specifically what need to be added and where, please.</p>
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	<p>23. Please share with is the Management response to the evaluation recommendstions once ready.</p>	<p>19. Recommendations provided in the section 7 already address different elements of the project management and implementation complexity. For example, Recommendation 7.1.2. provide suggestion to deal with complexity of the project Outputs and Activities indicators and targets; Recommendations 7.2.4-7.2.6 provides technical recommendations on delivery of the multiple project Activities; Recommendations 7.3.1-7.3.8 address complex project management issues. We do not consider the project “complexity” per se as a challenge or barrier for implementation, but we address different elements of this “complexity” in the project management and delivery of the project Activities and Outputs.</p> <p>20. Please, see section 6.9. Unexpected Results, p. 85. It provide details on the unexpected “negative” results of the project. If you need more details, please, kindly specify what detailes you need.</p> <p>21. In December 2020 the Mangrove Cell of Maharashtra submitted the request to MoEFCC to remove two project landscapes – Uran and Panvel (the State Government decided the landscapes are unsuitable for the project due to extensive urbanization and proposed airport construction) , and add Alibaug and Shrivardhan instead. This request was not reported in the APRs, however, it was approved by the National PSC in September 2022. The relevant footnote is added to the subsection , p. 68.</p> <p>22. Thank you! Agree. All relevant recommendations were made time-bound. However, some of the recommendations answer the question <i>How some of the project activities can be done</i> in the most efficient maner. So, for these recommendations we cannot suggest recommended timeframes</p> <p>23. National PMU will share the management response in the nearest future.</p>
<p>24. STRUCTURE AND CLARITY OF THE EVALUATION</p>		
<ul style="list-style-type: none"> Is the report structured logically and written in an accessible manner? 	<p>25. Comments are pending the submission of various annexes</p>	<p>25. Yes, please. We will address them as well.</p>

<ul style="list-style-type: none"> Does the structure allow for the relevant elements of the report to be included (i.e., executive summary, relevant annexes, sources, etc.)? 	<p>26. Is the assessment of the outputs and outcomes based on these reconstructed results statements in the table 2? However, under the description of Progress Toward Results section (page 17), the report indicated that the assessment was based on the original PRF. Please clarify what is the purpose of this results statements reconstruction? How these revised statements of results relate to the revised ToC? The assessment of the project's ToC (page 38) indicated that the IE team reconstructed the ToC for this evaluation purpose to correctly measure delivery of the project outputs and achievement the project's outcomes. Please clarify this in relation to the comment#23 above.</p> <p>27. Please clarify somewhere in the report how the project's results statements were revised, how the stakeholders were consulted, and what need to be done as next steps. For an easy flow of information and analysis, the table 2 should not be captured under the current location, but should be under the finding section.</p> <p>28. Please provide a brief introduction and summary of the findings and assessments just ahead of the table under the sub-section of 3.2. Currently, the sub-section start immediately with the table without an introduction, and this makes the reading kind of disconnected and hard to understand. For example, you may consider explaining briefly about the purpose of this mid-term evaluation, evaluation areas, as well as the assessment scaling and how this assessment is made., etc.</p> <p>29. Even though list of abbreviation is provided, but the abbreviations need to be specified in brackets if it is mentioned for the first time in the report, except those known universally. Such abbreviation include PRF and SESP on page 8, PMU on page 9, and PSC on page 10., etc.</p>	<p>27. We did not make any changes in the indicator values in the project ToC reconstructed for the evaluation purposes. In the Progress Towards Results section we calculated percentage of delivery of the project Activities and Outputs across indicators of the PRF and Project Work Plan in the GCF Proposal.</p> <p>The revised project Outcomes were used for evaluation of the project current Effectiveness and probability of the Outcome achievements at the current effectiveness.</p> <p>The project Outputs were rephrased for the evaluation purposes to make sure they represent results under full project control (definition of Output by the RBM concept). The explanation was provided during the review of the Project Strategy (subsection <i>Clarity of the project Theory of Change</i>). Please, see it below:</p> <p><i>“In the TOC diagram project Outputs actually sound like Outcomes (results that are not under full control of the project team). For example, under Output 1 the project can only restore and protect coastal ecosystems, but climate resilience of the ecosystems depends on many factors that are outside of the project control (e.g., ecosystem sensitivity and exposure to climate change as well its adaptive capacity). All that factors can be influenced by the project only partially. Similarly, under the Output 2 the project can only provide adaptive livelihood options to local communities and train them to apply climate-smart livelihood approaches. But this is up to local communities to use provided options and apply new skill that improve their adaptive capacity and increase resilience to climate change. Likewise, under Output 3 the project can integrate EbA in the government policies, plans and legislation and train different government officers to apply EbA. But it is probably not under the project control to strengthen the EbA governance, that means actual application of the EbA in practice by national and state governments (this is project Outcome). This is not under the project control”.</i></p> <p>27. The Outputs, Outcomes and Impacts of the project were revised for the evaluation purpose based on the definitions of different levels of results in the RBM concept. Methodology of the ToC analysis is provided on p. 16 of the report. Information</p>
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	<p>30. Summary of conclusions and recommendations (sub-section 3.3): The numbering for the conclusions and recommendations is a bit confusing. For example, why and what is the intention to number each of them starting from 4...? In addition, some instances the conclusion numbered with 3 digits, and some cases with only 2 digits?</p>	<p>on stakeholder consultations is provided in the section <i>Data Collection Methods</i>, pp. 21-22. Please, specify what additional details you need on that. Relevant recommendations 7.1.1 and 7.1.2. on the PRF and indicators are provided. We do not recommend review of the project ToC by the project team based on the revised ToC we used for the evaluation, because this is not necessary at the current stage. They have to focus on the delivery of the project Activities and Outputs. Table 1 was moved to the section 6.1. Project Strategy as you suggested.</p> <p>28. This comment is unclear. Please, see footnote 1 <i>This table contains only brief summaries of the IE findings, all details are provided in the relevant sections</i> for the section 3.2. Summary of the findings is provided in the Table in the section 3.2. What “summary and assessment” do you mean? Purpose of the IE is explained in the section 4.1. Purpose of the Interim Evaluation. Moreover, we followed the IE report structure recommended by the IE ToR. We are ready to discuss this comment further.</p> <p>29. Agree. The text was updated as requested.</p> <p>30. Numbering of the Conclusions and Recommendations in the Summary is the same as their numbering in the Section 7: Conclusions and Recommendations. So, you can easily find additional information on each recommendation in the Summary, they have same numbers. Please, see footnote 4: <i>Numbering of the conclusions and recommendations in the Executive Summary is the same as numbering in the Section VII Conclusions and Recommendations</i>. Numbering of all Conclusions was corrected: now all Conclusions are numbered with 3 digits.</p>
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INCEPTION REPORT

**Interim Evaluation of the UNDP/GCF/MoEFCC Project
“Enhancing Climate Resilience of India’s Coastal Communities”
PIMS 5991 /GCF FP084**

Mikhail Paltsyn, Vaithilingam Selvam, and Sudarshan Rodriguez

July 26, 2022

New Delhi, India

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I. Acronyms and Abbreviations

CO	Country Office
CSO	Civil Society Organization
FAA	GCF Funded Activity Agreement
GCF	Green Climate Fund
GEF	Global Environment Facility
GIS	Geographic Information System
GoI	Government of India
GRM	Grievance Redress Mechanism
IE	Interim Evaluation
MoEFCC	Ministry of Environment, Forest and Climate Change
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
PMU	Project Management Unit
PRF	Project Results Framework
RBM	Results-Based Management
ROTI	Review of Outcomes to Impacts
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
TOC	Theory of Change
UNDP	United Nations Development Programme

II. Introduction

The United Nations Development Programme (UNDP) supported, Green Climate Fund (GCF) financed project “*Enhancing Climate Resilience of India’s Coastal Communities*” (PIMS 5991 /GCF FP084) is implemented by the Ministry of Environment, Forest and Climate Change (MoEFCC) in partnership with and the nodal departments of the states of Andhra Pradesh, Odisha and Maharashtra. The project is financially supported by GCF and Government of India (GoI). The project objective is - *to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach.*

The project was started on the 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation, with planned completion on the 28th June 2025. Project activities are designed for implementation in 24 target landscapes located in 12 coastal districts of Andhra Pradesh, Maharashtra and Odisha States.

In May 2022 UNDP-India initiated an Interim Evaluation (IE) of the project in accordance with the draft GCF Evaluation Policy (GCF 2021), GCF Terms of Reference of the Independent Evaluation Unit (2018), and Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects (UNDP 2014). To perform the IE UNDP contracted Mikhail Paltsyn, International Consultant; Vaithilingam Selvam, National Consultant on Ecosystem Restoration; and Sudarshan Rodriguez, National Consultant on Climate-Resilient Livelihoods and EbA Institutionalization.

III. Brief project description

Title: UNDP/GCF/MEFCC Project “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084);

Objective: to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach.

Project Area: 24 target landscapes located in 12 coastal districts of Andhra Pradesh (7 landscapes: Pulicat Lake, Nelapattu Bird Sanctuary, Krishna Wildlife Sanctuary, Bantumilli Wetlands, Coringa Wildlife Sanctuary, Telineelapuram, and Sompeta), Maharashtra (10 landscapes: Devgad, Malvan, Vengurla, Dapoli, Guhagar, Rajapur, Uran, Panvel, Palghar, and Dahanu) and Odisha (7 landscapes: Chilika (Ganjam), Bahuda, Chilika (Puri), Devi Mouth, Talasari, Bhitarkanika, and Mahanadi Mouth); total area of 1,586,590 ha (Fig.1-3).

Expected Results:

Output 1. Enhanced resilience of coastal and marine ecosystems and their services;

Output 2. Climate-adaptive livelihoods for enhanced resilience of vulnerable coastal communities;

Output 3. Strengthened governance and institutional framework for climate-resilient management of coastal areas.

Project duration: 2019-2025 (6 years);

Project budget: US\$ 130,268,606, including GCF grant – US\$ 43,418,606; and co-financing from the Government of India – US\$ 86,850,000.

Implementing Partner: Ministry of Environment, Forest, and Climate Change (MoEFCC);

Responsible Parties: Environment, Forests, Science and Technology Department in the state of Andhra Pradesh; Revenue and Forest Department in the state of Maharashtra; and Forest and Environment Department in the state of Odisha.

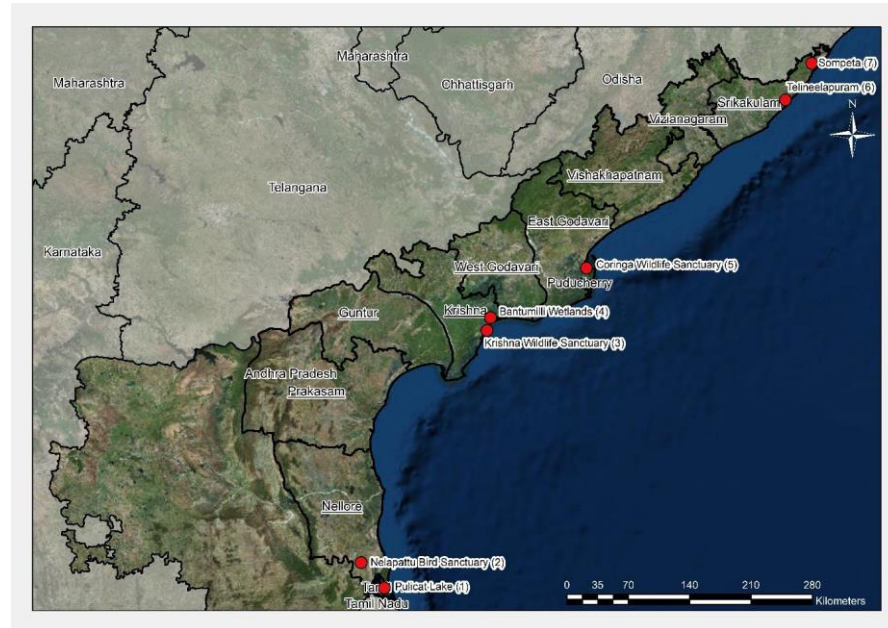


Figure 1. Project landscapes in Andhra Pradesh (adopted from the Annex IX: Maps indicating the location of the project)

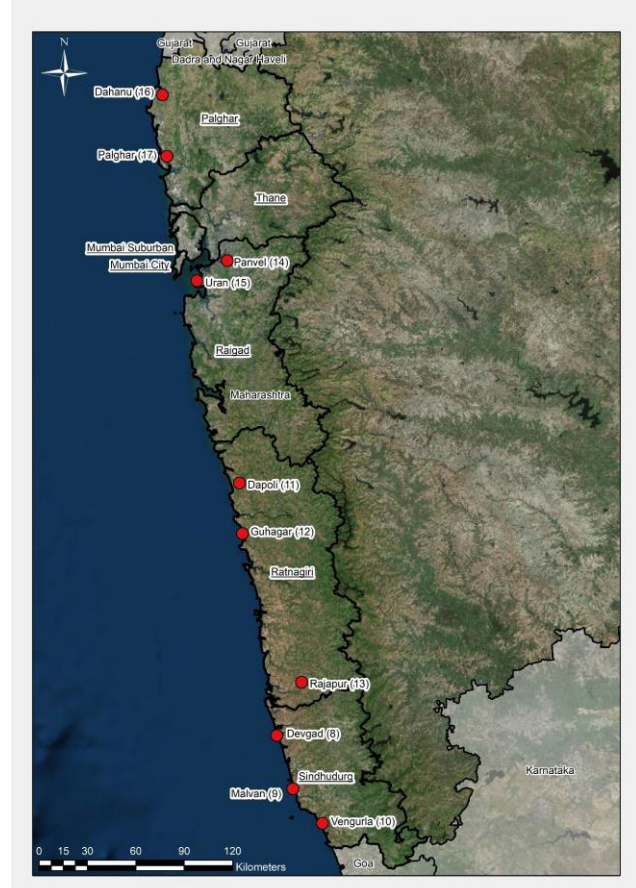


Figure 2. Project landscapes in Maharashtra (adopted from the Annex IX: Maps indicating the location of the project)

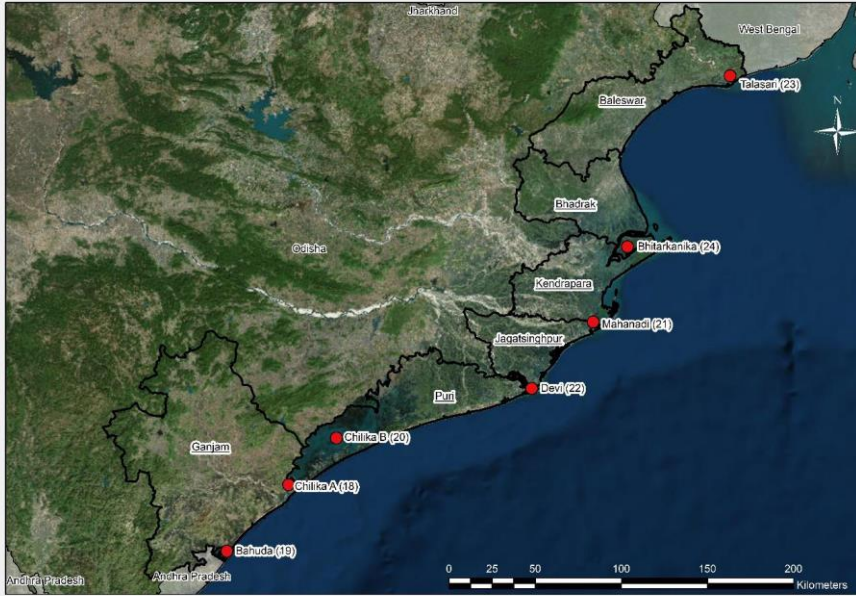


Figure 3. Project landscapes in Odisha (adopted from the Annex IX: Maps indicating the location of the project)

IV. Purpose of the IE

The purpose of the IE is to:

- assess overall performance of the UNDP/GCF project and progress towards the achievement of the project objectives and outcomes as specified in the UNDP Project Document and GCF Funded Activity Agreement (FAA); and
- assess early signs of project success, or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results;

The results of the IE are intended for use by the Project Management Team, Government of India, UNDP India, GCF, and other countries’ stakeholders to:

- receive objective information on actual performance of the project;
- recognize strengths and weaknesses of the project;
- improve project planning, implementation, monitoring and evaluation.

V. Scope of the IE

Thematic scope of this IE is limited to 10 project design and implementation areas: (1) **Project Strategy**; (2) **Relevance, Effectiveness and Efficiency**; (3) **Progress towards Results**; (4) **Implementation and Adaptive Management**; (5) **Sustainability**; (6) **Country Ownership**; (7) **Gender Equity**; (8) **Innovativeness**; (9) **Unexpected Results**; and (10) **Replication and Scalability**.

Geographic scope of the IE includes 24 project landscapes mentioned above.

VI. Methodology

IE will be conducted using comprehensive evidence-based and participatory approach built in full accordance with the *UNDP Guidance for Conducting Mid-Term Reviews*¹, ToR for the UNDP/GCF project IE, and Results-Based Management (RBM) concept. The evaluation will be based on analysis of 10 areas of the project design and implementation identified in the Scope section (see also Fig. 4).

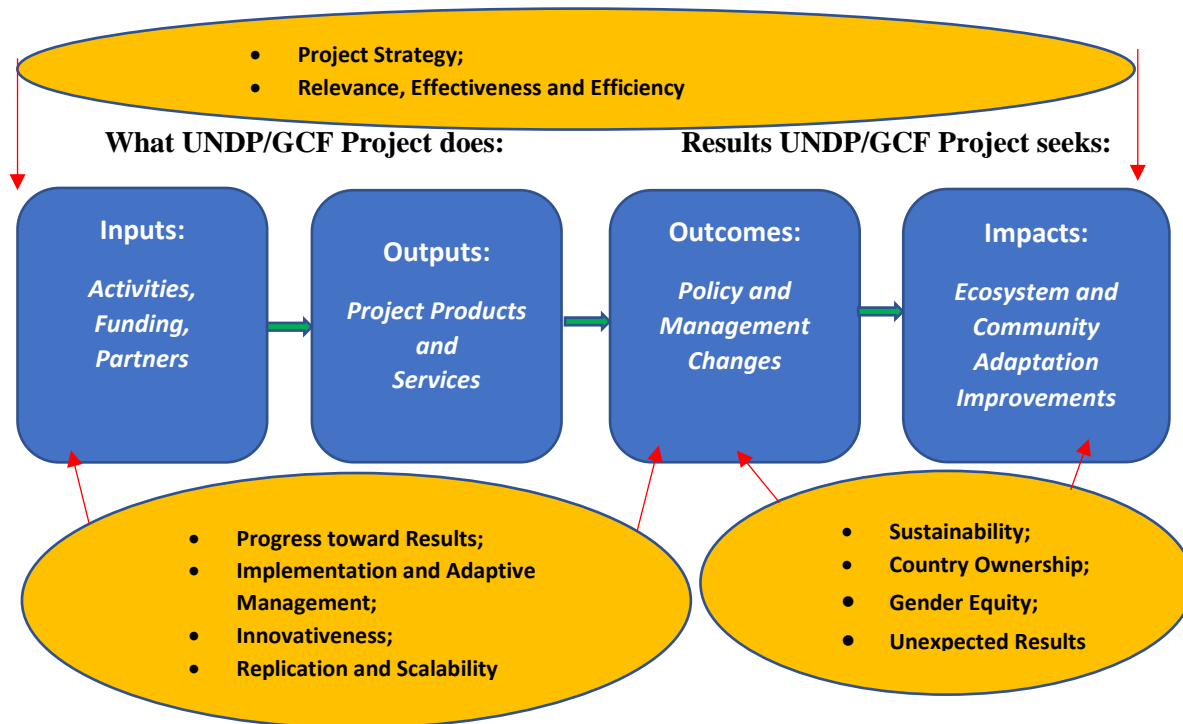


Figure 4. Ten UNDP/GCF Project IE criteria linked to the elements of project logic in accordance to RBM concept (Inputs, Outputs, Outcomes, and Impacts).

Approach for assessment of project IE areas is described in details below:

1. Project Strategy

Analysis of the Project Design and Theory of Change. Review the project preparation process and design will be conducted based on the Project Document and Project Results Framework using following criteria²:

- incorporation of lessons learned from similar projects in the project design;
- stakeholder consultation and decision-making process, including involvement of vulnerable groups and relevant gender issues;
- realistic assessment of risks to the project and risks that can be produced by the project;
- adequacy of selection of the project sites;

¹ UNDP-GEF Directorate 2014. Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects.

² Guidance of the UNDP Project Design Stage Quality Assurance Assessment Form will be applied

- adequacy of Threats (both climate and non-climate) to coastal ecosystems and local communities addressed by the project;
- correct identification of indirect threats (immediate and root causes) and barriers for sustainable solution;
- clarity of the project Theory of Change;
- clarity of Activities and Outputs for implementation;
- SMARTness and relevance of Objective, Output and Outcome indicators.

All the criteria will be rated using recommended 6 IE ratings (UNDP-GEF directorate, 2014): Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU).

Theory of Change (TOC) analysis of the project logic will be implemented using Miradi software³ <https://miradi.org/> and the Review of Outcomes to Impacts (ROTI) Practitioner's Handbook⁴. First, the Project Situation Analysis will be conducted to verify logical connections between identified problems and direct threats for coastal ecosystems and local communities associated with climate change, their causes and effects, and opportunities for adaptation and solving of the problems. The following elements will be verified:

- Selection of coastal ecosystems and communities targeted by the project;
- Direct Threats for the coastal ecosystems and communities;
- Indirect Threats (immediate and root causes) leading to the Direct Threats;
- Barriers on the way to eliminate or effectively decrease Direct and Indirect Threats for the wetlands.

Based on the situation analysis the IE consultants will review and construct the Project Result Chains (logical pathways between the Project expected Outputs, Outcomes, and Impacts). Based on the Result Chain analysis the consultant will check SMARTness⁵ of the Project Objective, expected Outputs and Outcomes and their Indicators. Some necessary corrections of the Output, Outcome, and Impact Indicators can be made for the evaluation purposes (if necessary).

2. Relevance, Effectiveness and Efficiency

Following criteria will be used for assessment of the project Relevance, Effectiveness, and Efficiency:

Relevance:

- relevance of the project to country priorities in coastal ecosystem protection, climate change adaptation and mitigation;
- relevance to GCF priorities;
- relevance to UNDP priorities;
- relevance of the project strategies to address climate and non-climate threats to coastal ecosystems and local communities.

³ Kozlova, S., Paltsyn, M., Mathiason, J. 2016. Tools for Theory of Change Analysis of Environmental Programs. International Conference Evaluation 2016, October 24-29, Atlanta, GA, USA. <http://comm.eval.org/viewdocument/tools-for-theory-of-change-analysis>

⁴ http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROTI%20Handbook.pdf

⁵ Specific, Measurable, Achievable, Relevant, and Time-bound

Effectiveness:

- probability that the project strategies will achieve project Outcomes during the project lifetime;
- number and character of the most impressive project results;
- number and character of the significant project shortcomings.

Efficiency:

- timeliness, quality and quantity in implementation of project Activities and delivery of planned Outputs;
- activity costs in comparison with other similar projects;
- capacity of PMU and key partners to implement the project.

3. Progress Toward Results

The project progress to implement planned Activities, deliver Outputs and achieve desired Outcomes will be implemented based on the original PRF via desk analysis of the annual project plans and reports, and other documents provided by UNDP and Government of India, interviews with key stakeholders, and field visit to the project landscapes (triangulation routine⁶ will be performed to ensure credibility of the findings). As the first step of the process the consultants will perform analysis of the Output delivery based on the above data sources - each Output will be rated based on the level of its actual delivery by June-July 2022 (period of the IE mission). Then Progress Towards Results Matrix (recommended by UNDP 2014) will be completed to evaluate achievement of the project Outcomes with assigning of relevant rating based on the Output and Outcome Indicators (Achieved, On the target to be achieved, Not on target to be achieved).

In addition, the IE team will try to collect information from open sources on the mangroves and other coastal ecosystems cover dynamic and other ecosystem restoration/protection initiatives in the target states, districts and landscapes in 2013-2022. That will allow to see what contribution the project made (or can potentially make) to protection and restoration of the coastal ecosystems as an important element of climate adaptation.

The IE team will explore key drivers behind the project success and delays in implementation of planned activities, delivery of Outputs and progress on Outcomes and Impacts through meta-modeling interviews with the project management team and key stakeholders (What worked well? What did not work well? Why? What needs to be improved?) and will map key barriers (and opportunities) to achieving the project Outcomes and Impacts.

4. Project Implementation and Adaptive Management

This area will be evaluated on the following criteria: *management arrangements, work planning, finance and co-finance, coherence in climate finance delivery with other multilateral entities, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications*. Final

⁶ Triangulation facilitates validation of data through cross-verification from more than two sources.

ratings according each criterion will be summarized in the summary table (UNDP 2014) with calculation of overall rating for this area.

The following points for each criterion will be used for evaluation of the project implementation and adaptive management quality:

Management arrangements

- Assessment of existing project management structure and its functionality;
- Structure and functionality of the project management unit;
- Level of support of project management team from UNDP CO;
- Level of support of the project management from MoEFCC, state government agencies, and local administrations;
- Level of support of the project management from the national and state Project Steering Committees.

Work planning

- Actual start of the project implementation and delay issues if any (reasons for the delay);
- Presence and quality of a Work Plan for entire project lifetime;
- Quality of the annual and quarterly work planning⁷;
- Quality of the PMU internal weekly/monthly planning⁸;
- Changes to the Project Results Framework, Theory of Change, Activities, and Outputs as a part of Adaptive Management.

Finance and Co-finance

- Quality of planning of the project annual budget⁹;
- Financial management: variance between planned and actual expenses by Activities/Outputs/Outcomes and years;
- Actual project expenses to deliver the project Outputs;
- Presence and recommendations of annual audit reports;
- Changes made in the project budget as a part of Adaptive Management;
- Difference between planned and actual co-financing commitments.

Coherence in climate finance delivery with other multilateral entities

- Level of project partnership and cooperation with other climate change adaptation projects and programs in India;
- Overall project impact and contribution to climate change adaptation in India.

⁷ Will be evaluated along requirements of the UNDP Project Implementation Stage Quality Assurance Assessment Form

⁸ Ibid

⁹ Ibid

Monitoring and Evaluation System

- Quality of the project M&E plan and its relevance to the project Activities, Outputs, and Outcomes¹⁰;
- Consistency of the project M&E system with national SDGs, NDC and other national reporting systems;
- Consistency of the project M&E system with international ESMF systems
- Frequency and quality of update of the project indicator values and data credibility;
- Difference between planned and actual expenses for the project M&E;
- Use of M&E framework for the project adaptive management;
- Stakeholder participation the project M&E, including gender aspects;
- Quality of monitoring and management of the project risks and Environmental and Social Safeguards risks, including their subsequent mitigation measures (ESMP Plans)¹¹

Stakeholder Engagement

- Quality of the project stakeholder engagement strategies and activities;
- Level of local and national government participation in the project implementation;
- Level of participation of local communities and other groups in the project, including establishment of village-level institutions and their roles in the project planning, implementation and monitoring (with indication of total number of stakeholders directly involved in the project and direct project beneficiaries);
- Total number of the project indirect beneficiaries;
- Presence and effectiveness of the project Grievance Redress Mechanism.

Reporting¹²

- Presence and quality of the project Inception Report;
- Presence and quality of the project quarterly and annual reports;
- Quality of personal reporting of PMU staff, Back to the Office/Mission Reports, and Activity/Event Reports;
- Project Partners and Responsible Parties Reports;
- Quality of reporting of project adaptive management changes;
- Validation and approval of project annual reports by the Project Steering Committees;
- Quality of documentation of lessons learned during the project implementation.

Communication

- Mechanisms of the project communications with stakeholders, including sharing lessons learned;
- Mechanisms for receiving stakeholder feedback on the project implementation;
- Presence and quality of outreach and awareness campaigns implemented by the project;

5. Sustainability

¹⁰ Ibid

¹¹ Will be evaluated along requirements of the UNDP Project Implementation Stage Quality Assurance Assessment Form

¹² Ibid

Under this area the IE consultants will re-evaluate the project risks identified on the project development stage and check if the risk rating by the project management were appropriate and up to date. Evaluation of Sustainability area will be conducted according the following criteria: *financial risks to sustainability*, *socio-economic risks to sustainability*, *institutional and governance risks to sustainability*, and *environmental risks to sustainability*. Overall project sustainability rating will be assigned based on the UNDP recommendation to MTRs (UNDP 2014) using following points for each criterion:

Financial sustainability

- Level of dependence of the Outcome sustainability on external financial sources;
- Likelihood that financial resources will be available to support the project Outputs and Outcomes after its completion;
- Presence of mechanism to ensure financial sustainability of the project Outputs and Outcomes.

Socio-economic sustainability

- Presence and magnitude of economic and social risks for the project Outputs and Outcomes;
- Level of stakeholder ownership on the project Outputs and Outcomes in terms of economic feasibility;
- Presence of partnerships and other mechanisms to sustain the project Outputs and Outcomes.

Institutional and governance sustainability

- Presence of appropriate policies, legislation, and governance structures to support project Outputs and Outcomes;
- Capacity of institutional and governance structures to sustain the project Outputs and Outcomes;
- Presence, structure, responsibility and capacity of the village-level institutions to deliver and sustain project results at landscape level
- Role of the project in establishment of appropriate policy, legislation and capacity to sustain the project results

Environmental sustainability

- Presence and severity of environmental factors, including climate change effects, that can influence sustainability of the project Outputs and Outcomes;
- Effectiveness of project strategies to address environmental risks to sustainability.

6. Country Ownership

- Level of involvement of government agencies and other key partners in the project development and implementation;
- Representativeness of the Project Steering Committees;
- Level of ownership and support of the project results by key government agencies, district administrations, and local communities.

7. Gender Equity

- Level of women/men involvement in the project development;

- Quality and regular review of the project Gender Mainstreaming Plan¹³;
- Presence of gender disaggregated indicators in the PRF;
- Quality of monitoring and mitigation of the project gender related risks;
- Level of women/men involvement in implementation of the project activities;
- Percentage of women/men among the project direct and indirect beneficiaries;
- Gender ratio in the PMU and Project Steering Committees.

8. **Innovativeness**

- Number and character of innovative approaches applied by the project¹⁴;

9. **Unexpected Results**

- Number, character, and key drivers of the project positive or neutral unexpected results;
- Number, character, and key drivers of the project negative unexpected results;
- Quality and timeliness of monitoring, management, and reporting of the project unexpected results;

10. **Replication and Scalability**

- Key project lessons learned and shared;
- Number and character of the project best practices and lessons learned applied by other projects and programs in India and abroad;
- Potential applicability and scalability of the project best practices and lessons learned in India and abroad.

Data Collection Methods:

Initial data collection for the IE will be done through **desk review and express-analysis** of available project design and reporting documents, as well as other publications (see Section IX) to assess project performance along ten evaluation criteria mentioned above before the field mission. Based on preliminary findings and discussion with the PMU, UNDP and GoI, a **simple stakeholder analysis** will be implemented to identify and prioritize relevant staff and the most critical project partners and stakeholders for interviews and focus groups (see Section X Initial list of project stakeholders for the IE). A detailed schedule of the evaluation field mission, interviews and focus groups will be completed and adjusted in communication with the project team, UNDP, and GoI.

Based on preliminary evaluation findings and list of project stakeholders **project evaluative matrix** will be finalized (see Annex 1. Preliminary IE Evaluative Matrix). The evaluation questions will be discussed with the project team and key stakeholders and assigned in questionnaires (no more than 20 questions each to collect key information) designed for each category of the project stakeholders **to collect primary data for correction of preliminary findings**. To design interviews and collect data, the consultants will use *semi-structured individual interviews and focus groups*. The consultants will try to have as many

¹³ Will be evaluated along requirements of the UNDP Project Implementation Stage Quality Assurance Assessment Form

¹⁴ The IE will use following UNDP definition of innovation: "Innovation for development is about identifying more effective solutions that add value for the people affected by development challenges – people and their governments, our users and clients" (UNDP 2017). The IE will consider any new for India (or globally) technology and approaches introduced by the project as innovations.

open questions as possible to allow respondents to express their opinion on the project performance. In total the evaluation team will try to interview **40-80 people** through remote (via phone, Skype and Zoom) and in-person individual interviews and focus groups in New Delhi, States of Andhra Pradesh, Maharashtra, and Odisha, and project landscapes¹⁵. Following stakeholder groups will be interviewed: (1) experts involved in development of the UNDP/GCF project; (b) PMU and PSC; (c) project partners involved in the project implementation (Government Agencies, Local governments, NGOs, Local Communities, Private Sector); (d) direct project beneficiaries (Government Agencies, Local governments, NGOs, Local Communities, Private Sector); (e) other stakeholders affected by the project in positive and negative way (e.g., Local Communities and Private Sector) (see Section X).

The Consultants **will visit 6 selected project landscapes** in two States (Maharashtra and Odisha) (Table 1) to obtain evidences on the project performance through interviews and focus groups with district administrations and local communities, and project sites visits. The landscapes for field mission were selected based on the analysis of the Annex 2 and distance from district centers and between landscapes. Project activities by target landscapes by July 2022. Logistics and supplies for the project district visits will be provided by UNDP CO.

Table 1. Project landscapes selected for the IE field mission

No	State and District	Target landscape	Justification	Distance from headquarters and in between the landscapes
Maharashtra				
1	Sindhudurg	Devgad	Mangrove Co-management Committees have been formed (Output 1); Micro Plans for the project villages have been prepared and approved (Output 1); SRI activities have been started; Pearl Spot fish nursery units and Sea bass cage culture units established (Output 2)	About 300 km south of Mumbai
2.	Ratnagiri	Rajapur	Mangrove Co-management Committees have been formed (Output 1); Micro Plans for the project villages have been prepared and approved (Output 1); Oyster Farming and Sea bass cage culture units established (Output 2)	20 km north of Devgad
3.	Raigad	Alibag	Mangrove Co-management Committees have been formed (Output 1); Micro Plans for the project villages have been prepared and approved (Output 1); Mangrove plantation initiated (Output 1)	240 km north of Devgad 40 km south of Mumbai

¹⁵ In person focus groups will be organized in full accordance to government requirements for meetings in the situation of COVID-19 pandemic

Odisha				
4	Baleswar	Talasari	Preparatory activities related to Output 1 initiated Community, different CBOs mobilized and consulted relating to Output 2	About 250 km north of Bhubaneswar
5	Kendrapara	Bhitarkanika	Mangrove restoration initiated (Output 1) Community, different CBOs mobilized and consulted relating to Output 2	About 130 km south of Talasari About 112 km east of Bhubaneswar
6	Ganjam	Chilika-Ganjam	Preparatory activities related to Output 1 initiated Community, different CBOs mobilized and consulted relating to Output 2	

Along with interviewing and field visits additional data collection (**secondary data**) will be conducted to verify initial findings through available publications, web-sites, open source and government databases. Thus, the evaluation approach will allow data collection from different sources (documents, interviews with stakeholders, field visit, analysis of available spatial data and statistics) and **perform triangulation** of the data to support evaluation findings.

Data Analysis

Data collected from the project document reviews and interviews (primary data) as well as data collected from other sources (secondary data: open source and government databases, Internet, publications, other project reports, etc.) will be summarized by 10 project design and implementation areas: (1) Project Strategy; (2) Relevance, Effectiveness and Efficiency; (3) Progress towards Results; (4) Implementation and Adaptive Management; (5) Sustainability; (6) Country Ownership; (7) Gender Equity; (8) Innovativeness; (9) Unexpected Results; and (10) Replication and Scalability. For each project design and implementation area the data will be distributed by a set of criteria (see Section VI Methodology, pp. 8-13; and Annex 1. Preliminary IE Evaluative Matrix). Based on the evaluation findings each criterion will receive a score from 0 to 5 (5 -Highly Satisfactory (HS), 4 - Satisfactory (S), 3 - Moderately Satisfactory (MS), 2 - Moderately Unsatisfactory (MU), 1 - Unsatisfactory (U), or 0 - Highly Unsatisfactory (HU)). Particular score for every evaluated element will be supported by the evaluation judgement and appropriate evidences. IE rating for each project design and implementation area will be calculated as a simple average of scores for each criterion, using scales from the UNDP Mid-Term Review Guidance (UNDP-GEF directorate, 2014). The analysis will be completed with direct participation of the PMU staff and key project partners. Such criterion-based and participatory approach to the data analysis will allow to decrease evaluation bias and make the evaluation process open, objective, and supported by necessary evidences. Additionally, Evaluation Consultants will use simple graphs and linear (or non-linear) regressions to demonstrate the project progress towards planned Outputs and Outcomes, likelihood of the Outputs and Outcome achievements, budget expenditures, and the program performance along each project design and implementation area.

Conclusions and Recommendations

Based on evaluation findings and scores for each project design and implementation area the IE consultants will generate a set of evidence-based conclusions regarding the project performance. Relevant experience from similar UNDP, GCF, GEF and other projects in India (e.g., Project Terminal Reports, Evaluation Reports, and publications) will be analyzed before generating recommendations to the project. That will allow the consultants to make more relevant recommendations to the project team and stakeholders supported by lessons learned from other projects. Based on the evaluation conclusions and analysis of relevant experience the consultants will develop a set of specific, targeted and time-bound recommendations according to the 10 IE assessment areas to support further performance of the project. Special discussions will be conducted with the project team, UNDP, and GoI to improve the project implementation in accordance with the evaluation recommendations.

VII. Potential limitations of the IE

The proposed IE has some limitations that have to be considered while using the IE results:

- Limited time (only 30 days) and significant number (10) of the evaluation areas (instead of usual four for UNDP MTR) will allow collection and analysis only of a fraction of data on the project performance for each evaluation area. Thus, the evaluation cannot grasp all details of the project performance, but only the most significant ones;
- Only 7-8 project landscapes out of 24 total can be visited by the IE team with only a few hours spend for interviews and project sites visit in each landscape. Thus, the evaluation will not provide details for each project landscape, but mainly findings and recommendations for overall landscape performance and management;
- The IE team can verify area of restored mangroves and other ecosystems, as well as number of local communities involved in the project activities and benefiting from the project using mainly the project reports and interviews with stakeholders as the team had limited time to visit the all project sites physically;
- Some stakeholders, e.g., key members of the PSC, maybe unavailable for interviews and focus groups. Thus, the evaluation will not be able to grasp and reflect opinions of some stakeholders and partners;
- Potential lack of trust of local communities to the IE team, as well as cultural and language barriers can limit their ability to express their opinions on the project openly and frankly;
- Potential COVID-19 pandemic restrictions for travel and meetings can negatively affect the data collection and limit number of available stakeholders for interview and focus groups. That can make the IE conclusions more subjective and less representative on opinions of the project landscape communities, administrations, and other stakeholders.

VIII. Proposed work plan for the IE

Activities	Timelines
Initial Document Review and development of IE Inception Report	June 29 – July 26
Discussion of IE Inception Report with the project team and UNDP, finalizing the Inception Report	July 26
Detailed Document Review and development of detailed IE mission schedule	July 17-30
IE mission: meetings with stakeholders, interviews, focus groups, and field visits in the project landscapes	August 2 – August 15
Mission wrap-up meeting: presentation of initial findings	August 16-17
Analysis of collected data and preparation of draft IE Report #1	August 18-22
Collecting CO & NCE team comments, discussion, and development of the draft IE Report #2	August 2-24
GCF review period for the IE Report (other stakeholders provide comments in parallel)	August 25 – September 22
IE team incorporates GCF and stakeholders' comments and produces draft IE Report #3	September 23-25
IE team submits final IE report; CO, project team and NCE team to clear report	September 27
NCE team submits the Final Report to GCF	September 28

IX. Initial list of documents selected for desktop review¹⁶

Following list of documents has been selected for desktop analysis of the project performance:

Project Documentation:

1. Project Document: “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084);
2. GCF Funding Proposal “Enhancing Climate Resilience of India’s Coastal Communities”;
3. GCF Funded Activity Agreement FP084. April 2019;
4. Project Feasibility Study 2017;
5. Baseline Assessment Report For the project FP084: Enhancing Climate Resilience of India’s Coastal Communities. December 2019;
6. FP084 Project Environmental and Social Safeguards Assessment Report 2018;
7. Environmental and Social Management Framework 2018;
8. FP084 Gender Assessment. January 2019;
9. FP084 Gender Action Plan. January 2019;
10. FP084 Project Stakeholder Engagement Plan;
11. HACT Micro-Assessment for the Project Implementing Partner sand Responsible Parties;
12. Project Inception Report. December 2019;

¹⁶ Some of the documents in the list might be missing

13. Annex IX: Maps indicating the location of the project/programme;
14. Report “Cost-benefit analysis of the seagrass and coral reef restoration components of the “Enhancing Climate Resilience of India’s Coastal Communities” project proposal to GCF”. 2018;
15. Addendum to the cost-benefit analysis of the seagrass and coral reef restoration components of the “Enhancing Climate Resilience of India’s Coastal Communities” project proposal to GCF. 2018;
16. List of stakeholders consulted during the project development;
17. Minutes of stakeholder consultations during the project development;
18. Minutes of the First Meeting of the National Project Steering Committee (NPSC) for Green Climate Fund (GCF) funded Project "Enhancing Climate Resilience of India’s Coastal Communities held on 5th August, 2020 at 3.30P.M. on Virtual platform in New Delhi-110003;
19. Letter of Agreement between UNDP and Department of Forest, Environment, and Climate Change, Government of Odisha. September 2021;
20. Letter of Agreement between UNDP and Revenue and Forest Department, Government of Maharashtra. September 2021;
21. Letter of Agreement between UNDP and Environment, Forests, Science Department, Government of Andhra Pradesh. May 2022;
22. Amendment #1 to the Letter of Agreement between UNDP and Revenue and Forest Department, Government of Maharashtra. May 2022.
23. Amendment #2 to the Letter of Agreement between UNDP and Revenue and Forest Department, Government of Maharashtra. June 2022.
24. Project Steering Committees meetings minutes 2019-2021;
25. Approved Annual Work Plans 2019, 2020, 2021, 2022;
26. Project Procurement Plans 2019, 2020, 2021, 2022;
27. Project Annual Performance Reports 2019, 2020, 2021;
28. Project Results and Monitoring Pathways 2020, 2021;
29. Project Annual Financial Reports 2020 and 2021;
30. Project Quarterly Reports 2019, 2020, 2021, 2022;
31. Project Risk Log Quarterly or Annual Updates 2019, 2020, 2021, 2022;
32. Project SESP Quarterly Updates 2019, 2020, 2021, 2022;
33. Project Quality Assurance Reports 2019, 2020, 2021;
34. ToRs of the Project Management Unit staff;
35. Back to the Office/Mission Reports of the PMU staff 2019, 2020, 2021, 2022;
36. PMU meetings minutes 2019, 2020, 2021, 2022;
37. Activity/meetings/events reports (if any) 2019, 2020, 2021, 2022 with lists of participants;
38. Agreements and contracts with Consultants and Responsible Parties 2019, 2020, 2021, 2022;
39. Consultancy and Responsible Parties Reports 2019, 2020, 2021, 2022 (e.g., Feasibility Studies, Environmental and Social Impact Assessment, Activity Reports, etc.);
40. GRM Reports/Records 2019, 2020, 2021, 2022;
41. Project Audit Reports 2019, 2020, 2021(if any);
42. Project publications and other communication materials 2019, 2020, 2021, 2022

Other publications, reports, databases

43. Executive Board of the United Nations Development Programme, the United Nations Population Fund and the United Nations Office for Project Services. 2017. Country programme document for India (2018-2022)
44. Government of India and the United Nations. Sustainable Development Framework 2018-2022. December 2017.
45. Planning Commission, Government of India. 2013. Twelfth Five Year Plan (2012/2017). Volumes 1 and 2;
46. Government of India 2008. National Action Plan on Climate Change (NAPCC);

47. India's Intended Nationally Determined Contribution (NDC). Working Toward Climate Justice. 2015;
48. Andhra Pradesh State Action Plan on Climate Change. March 2012;
49. Department of Environment, Government of Maharashtra 2014. Assessing Climate Change Vulnerability and Adaptation Strategies for Maharashtra: Maharashtra State Adaptation Action Plan on Climate Change (MSAAPC);
50. Odisha Climate Change Action Plan 2018-2023;
51. India State of Forest Report 2021

X. Preliminary list of stakeholders selected for interviewing

The IE consultants are going to interview a wide set of national and international stakeholders in the following functional groups with representatives from UNDP, government, CSOs, research organizations, and local communities:

- Experts involved in the project development at PPG stage;
- Members of the project management team;
- Member of the Project Steering Committee;
- Project partners;
- Project beneficiaries;
- Other project stakeholders affected in positive or negative way

Initial list of stakeholders selected for interviewing is shown in the table below:

Stakeholder	Mandate/functions/activities	Role in the GCF project implementation and relevant project Outputs and Activities	Planned Interviewees	Phone/Email
National PMU	GCF project management at national level	Overall GCF project day to day management, monitoring, and reporting	Mr. Vasudevan Narayan, National Project Coordinator	In process. Expected joining date Mid Aug'21 8879085704 vasuiist@gmail.com
			Mr. Murugan Arumugan Nadar, Marine and Mangrove Specialist	8220211770 arumugam.murugan@undp.org
			Ms. Anushika Bose, Environment and Social Safeguards Officer	9582677000 anushika.bose@undp.org
			Mr. Sahil Sharma,	9871444038

			Communication and Knowledge Management Specialist	sahil.sharma@undp.org
			Mr. Jyotiraj Patra, Climate Change and Adaptation Specialist	9178201705 Jyotiraj.patra@undp.org
			VACANT, Monitoring and Evaluation Officer	Submitted for readvertise
			VACANT, Finance and Administrative Officer	Submitted for readvertise
			Nupur Sharma, Project Associate Admin & Finance	9891533270 nupur.sharma@undp.org
			Suman Singh, Former Technical Consultant	9811435055 ssingh06@gmail.com
			Naveen Devnani, Former Operations Officer	9811111882 devnaninaveen@gmail.com
UNDP Country Office		UNDP provides a three-tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels; Member of the National PSC; GCF Accredited Entity for the project	Dr. Ruchi Pant, Programme Manager - E&R Unit	9810556540 ruchi.pant@undp.org
			Dr. Preeti Soni, Former Chief - CCR&E Unit	9910161881
			Pooja Verma Technical officer (MIS)	9718891452 Pooja.verma@undp.org
			Ridhima Gupta, Programme Associate - CCR&E Unit	9873969397 ridhima.gupta@undp.org
			Urjaswi Sondhi, Project Associate (National UNV)	98718089691 urjaswi.sondhi@undp.org

				org
Andhra Pradesh State PMU	GCF project management at the state level	GCF project day to day management, monitoring, and reporting in Andhra Pradesh State	There is no staff in the PMU yet	N/A
Maharashtra State PMU	GCF project management at the state level	GCF project day to day management, monitoring, and reporting in Maharashtra State	Vikram Jalindar Yadav, Socio Economic and Livelihood & Associate	8208166013 vikram.yadav@undp.org
			Jaya Pravin Kshirsagar, Project Associate	9321016417 jaya.kshirsagar@undp.org
			Dr. Aeshita Mukherjee Wilske, Former State Project Manager - MH	9978691179
Maharashtra District PMU	GCF project management at the district level	GCF project day to day management, monitoring, and reporting in their respective districts	Pratik Prakash Tambe, District Coordination Officer - Palghar	9579764604 pratik.tambe@undp.org
			Dashrath D. Sirsat, District Coordination Officer - Raigad	8181086464 dashrath.sirsat@undp.org
			Rohit D. Sawant, District Coordination Officer - Sindhudurg	9403980417 rohit.sawant@undp.org
Odisha State PMU	GCF project management at the state level	GCF project day to day management, monitoring, and reporting in Maharashtra State	Rajat Kumar Choudhury, State Project Manager	7978597554 rajat.choudhury@undp.org
			Dillip Kumar Mahapatra, Socio-Economic and Livelihood Associate	8763196347 dillip.mahapatra@undp.org
			Parimita Routray, Communications, M&E Associate	9861072266 parimita.routray@undp.org

			Ranjan Bhoi, District Project Coordinator - Gajnam	9348228872 ranjan.bhoi@undp.org
			Debasis Pati, Technical Advisor	9437757741 debasis.pati08@gmail.com
			Rajendra Kumar Samal, Former State Project Associate - OD	7978604513 / 9437028939
National Project Steering Committee	Overall supervision and support to the GCF project management at national level	Review and approval of the project annual plans and reports. Advisory to the PMU	Ms. Richa Sharma The Additional Secretary (Climate Change), / Ministry of Environment, Forest and Climate Change. Chairperson	sricha@ias.nic.in
			Shri Neelesh Kumar Shah The Joint Secretary (Climate Change), Chairperson / Ministry of Environment, Forest and Climate Change.	sahnk@cag.gov.in +91 11 20819220
			Rajasree Ray, Economic Advisor/ NDA, National project Director	rajasree.ray@nic.in

			Dr. Subrata Bose, Scientist-F - Climate Change Division	9810734623 subrata.bose@nic.in
			Shri Sundeep Additional Project Director-SICOM	Sundeep.cpcb@nic.in
Andhra Pradesh State Project Steering Committee	Supervision and support to the GCF project management at the state level	Review and approval of the project annual plans and reports at the state level. Advisory to the state PMU	Name? Chief Secretary, GoAP	cs@ap.gov.in
			Name? Secretary, EFS&T	Sples_efst@ap.gov.in
			Name? Secretary, Finance	Secy-rmfp- fin@ap.gov.in Peshi-pfs@ap.gov.in
			Prl.Chief Conservator of Forest & Head of Forest Force	prlccf_hf_apfd@ap.gov.in
Maharashtra State Project Steering Committee	Supervision and support to the GCF project management at the state level	Review and approval of the project annual plans and reports at the state level. Advisory to the state PMU	Shri. Manukumar Srivastava Chief Secretary	(022) 22025042/22028762
			Shri. Om Prakash Gupta Additional Chief Secretary (Finance)	23095619
			Kalyaneshwar Bakshi	22029496
			Additional Chief Secretary (Planning)	psec.planning@mahar ashtra.gov.in
			Shri. Venugopal Reddy	

			Additional Chief Secretary / Principal Secretary / Secretary (Forest)	
			Smt. Manisha Mhaisekar	
			Additional Chief Secretary / Principal Secretary / Secretary (Environment)	
Odisha State Project Steering Committee	Supervision and support to the GCF project management at the state level	Review and approval of the project annual plans and reports at the state level. Advisory to the state PMU	The request for members is pending with Odisha Government	XXX
Ministry of Environment, Forest, and Climate Change (MoEFCC)	MoEFCC is responsible for planning, promotion, co-ordination and overseeing the implementation of India's environmental and forestry policies and programmes. This ministry is the nodal ministry for all matters relating to climate change and coordinates implementation of the National Action Plan on Climate Change (2008). The MoEFCC also hosts the National Adaptation Fund, which provides resources to the state governments for adaptation actions, and serves as the nodal agency in the country for the UN agencies and programmes pertaining to environment and climate change.	Implementing Partner for this project and Chairperson of the National Project Steering Committee Project Co-financing	Rajasree Ray, Economic Advisor/ NDA, National project Director	rajasree.ray@nic.in
			Dr. Subrata Bose, Scientist-F - Climate Change Division	9810734623 subrata.bose@nic.in
The National	The NCSCM helps implement the	Member of the National	Dr. Ramesh	director@ncscm.res.in

Centre for Sustainable Coastal Management (NCSCM)	Coastal Regulation Zone Notification 2011, and developed national guidelines for Integrated Coastal Zone Management. It has a key role in the national Coastal Mission under the NAPCC (2008), and has conducted relevant research studies on shoreline change assessment, and mapping ecologically sensitive areas.	Project Steering Committee Technical project support	Ramachandran, Director of National Centre for Sustainable Coastal Management	ramesh@ncscm.res.in
			Dr. Purvaja Ramachandran, Scientist G and FTR division chair	purvaja@ncscm.res.in
			Dr. Deepak Samuel, Scientist E	deepak@ncscm.res.in
Society of Integrated Coastal Management (SICOM)	<p>SICOM hosts a project management unit for implementing Phase II of the World Bank-assisted Integrated Coastal Zone Management (ICZM) project.</p> <p>Has been established under the aegis of the Ministry of Environment, Forests and Climate change, Government of India with a vision for vibrant, healthy and resilient Coastal and Marine Environment for continuous and enhanced outflow of benefits to the Country and the Coastal Community.</p>	Member of the National Project Steering Committee	Shri Sundeep Additional Project Director-SICOM	Sundeep.cpcb@nic.in
Environment, Forests, Science and Technology Department in		Responsible Party Project Co-financing	Mr. P.V Chalapati Rao, Special Secretary, and SPM, State Government of Andhra Pradesh	chalapathipasala@gmail.com

the State of Andhra Pradesh				
Revenue and Forest Department in the state of Maharashtra		Responsible Party Project Co-financing	Mr. Virendra Tiwari, IFS, APCCF, Mangrove Cell – Mumbai / State Project Director	9833316795 022-22694984 / 85 virendra_t@hotmail.com
Forest and Environment Department in the state of Odisha		Responsible Party Project Co-financing	Mr. Susanta Nanda, IFS, Addnl. PCCF / State Project Director	0674 – 2552311 susantaifs@gmail.com
CSIR - National Institute of Oceanography, GOA	An autonomous research organization in India to undertake scientific research and studies of special oceanographic features of the Indian ocean	Agreement signed with National Institute of Oceanography for ‘Baseline study for Assessing the biodiversity and biophysical status of coral reefs along the Maharashtra coastline: prospects for reef restoration.’ The goal of this study is to identify, and record stressed coral zones, highlight the factors that are stressing the ecosystem and to work towards reducing the stressors	Dr. B. Manikandan, Scientist and Principal Investigator	9049696056 manikandan@nio.org
Tare Leading Edge Pvt. Ltd.	Taru Leading Edge is a leading development advisory and think tank delivering innovative transformative solutions and insights in the development space. Incorporated as a private limited	Activity 1.1. Conducting Vulnerability Assessment of India’s coastline and Development of a Decision Support Tool for Adaptation Planning with particular focus	Chehak Ahuja, Senior Consultant Social Transformation	9540715873 cahuja@taru.co.in
			Binu Mathew, Chief Operating Officer	9884353648, bmathew@taru.org
			Dr. Sai Bhaskar Reddy	9246352018 /

	company, Taru's mission is to `bridge the Science-Institutions-Society interface with a core agenda of providing transformative solutions to the development challenges'. Established in 1996 by eminent development professionals, it caters to a diverse range of bilateral and multi-lateral agencies, government departments, corporate and development organizations through research, technology, solution innovations and implementation support.	on Gender Stakeholder and Potential Partnership Analysis for the GCF project	Nakka, Sr. V.P. - Disaster and Climate Resilience Priyesh Salunke	9676799191 sreddy@taru.co.in 9920024596 psalunke@taru.co.in
Dusty Foot	Communications agency that has been helping us to develop a communications and social media strategy	Development of a communications and social media strategy for the project	Imrana Khan Rita Banerji Udita Das	imranarkhan@gmail.com rita.banerji@gmail.com uditadas@gmail.com
International consultant for impact evaluation study	Individual consultant	The impact evaluation will be a thorough exercise, that is evidence-based, and that can inform achievement of project outcomes over the course of the project period. The Impact Evaluation specialist is expected to design the impact evaluation for the project as well as conduct the validation	Prof. Tauhidur Rahman	tauhidur.rahman4@gmail.com

		of the evaluation design through the analysis of baseline and end-line data based on a pilot. The baseline study for this evaluation shall be done by NCSCM with the support of the International IE specialist. An impact evaluation workshop will be conducted in August end.		
National Adaptation Fund (NAF)	There about seven ongoing projects under Adaptation funds, focusing various issues of climate change at coastal areas at particular state-level	Potential project partner Exchange of the lessons learned	Rajasree Ray, Economic Advisor/ NDA, National project Director	rajasree.ray@nic.in
National Coastal Mission (NCM)	Addresses impact of climate change on coastal and marine ecosystems, infrastructure, and communities in coastal areas through a combination of adaptation and mitigation measures	Key partner and direct beneficiary of the Output 3	No staff yet	N/A
Mangrove Co-Management Committees (MCMCs) in Maharashtra	Sustainable community co-management of mangroves in the state districts	Key project partners for Output 1	Cahul, Pratibha Pawar, President	8805855047
			Chunekoliwada, Bindita Baburao Patil, President	7020039137
			Bapale, Anusaya Gulmire, Secretary	9657210616
			Revdanda, Hariom Nagu Chogle, President	
			Bharadkhol, Baburao Vithal Chorge, President	8888987787

			Karivine, Sadanand Bandre, President	7020936198
			Shekhadi, Vivek Mendadkar, President	8850054337
			Dighi, Mr. Nilesh Sumada, President	8623043436
			Shirgaon, Mr. Prashant Naik, President	9322961134
			Kharekuran, Mr. Hemant Sankhe, President	9322950684
			Dapoli, Mr. Rohan Patil, President	9967457938
			Navghar, Mr. Prabhakar Thakur, President	87672 67351
			Edvan, Mr. Jagannath Vaze, President	9224635239
			Chinchani	9834865156
Local Communities in the project landscapes			These can be contacted through the District Coordination officers (in progress)	
Partner NGOs in the project landscapes		Key partners in delivery of the Outputs 1 and 2 in the project landscapes	None for Maharashtra, Andhra Pradesh, and Odisha yet	

Annex 1. Initial Interim Evaluation Matrix

Evaluative questions	Indicators	Sources	Methodology
1. Project Strategy: To what extent is the project strategy robust and the best route towards expected results			
Project Design and Theory of Change			
Does the project incorporate lessons learned from similar projects in the project design?	6 point scale (UNDP-GEF directorate, 2014)	Prodoc PPG Team	Content analysis Semi-structured interviews
How many stakeholders were involved in the project development?	Number of people consulted 6 point scale (UNDP-GEF directorate, 2014)	List of stakeholders consulted during PPG phase Stakeholders	Content analysis Semi-structured interviews
Were local communities and vulnerable groups involved in the project development?	Yes/No Number of local people and vulnerable groups representatives participated in the project development 6 point scale (UNDP-GEF directorate, 2014)	List of stakeholders consulted during PPG phase Stakeholders	Content analysis Semi-structured interviews
Was the project based on adequate assessment of risks (both risks for the project implementation and sustainability and Social and Environmental risk the project can produce)?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc and CEO ER Stakeholders	Content analysis Semi-structured interviews
Is a set of project sites strategically selected?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Climate Vulnerability Index for Indian coast Stakeholders	Content analysis Semi-structured interviews
Are Direct Threats (both climate	Yes/No	Prodoc, Climate Vulnerability	Content analysis

Evaluative questions	Indicators	Sources	Methodology
and non-climate) addressed by the project adequate for wetlands, local communities, and selected project sites?	6 point scale (UNDP-GEF directorate, 2014)	Assessment for Indian Coast Stakeholders	Semi-structured interviews
Are Indirect Threats and Barriers correctly identified and clear?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Climate Vulnerability Assessment for Indian Coast Stakeholders	Content analysis Semi-structured interviews
Does the project have clearly articulated and logical Theory of Change?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Result Framework, ToC diagram and description Stakeholders	Situation Analysis Theory of Change Analysis Semi-structured interviews
Do the project Objective and Outcome Indicators adequate and SMART?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Result Framework Stakeholders	Theory of Change Analysis Semi-structured interviews
Are project Outputs and Activities detailed and clear for implementation?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Description of project Activities and Outputs in Prodoc Stakeholders	Content analysis Semi-structured interviews
2. Relevance, Effectiveness and Efficiency: How the project is relevant to national, UNDP, and GCF priorities? How likely that the project will achieve its expected Outcomes and Impact? How efficient is the project management?			
Relevance			
How relevant is the project to country priorities in climate change adaptation and mitigation?	6 point scale (UNDP-GEF directorate, 2014)	National Climate Change Policy of India Stakeholders	Content analysis Semi-structured interviews
How relevant is the project to GCF priorities?	6 point scale (UNDP-GEF directorate, 2014)	GCF policy and requirements	Content analysis
How relevant is the project to	6 point scale (UNDP-GEF	UNDAF India, UNDP Climate	Content analysis

Evaluative questions	Indicators	Sources	Methodology
UNDP priorities?	directorate, 2014)	Policy Stakeholders	Semi-structured interviews
How relevant is the project strategies to address climate and non-climate threats to India coastal ecosystems and communities?	6 point scale (UNDP-GEF directorate, 2014)	Climate Vulnerability Assessment for Indian Coast, and National Climate Change Policy Stakeholders	Content analysis Semi-structured interviews
Effectiveness			
What is the probability that project strategies will achieve project Outcomes and Objectives during the project lifetime	6 point scale (UNDP-GEF directorate, 2014)	Prodoc, PRF, Project Annual Reports Stakeholders	Content analysis Semi-structured interviews
What are the project most impressive results?	Number and magnitude of the key results	Prodoc, PRF, Project Annual Reports Stakeholders	Content analysis Semi-structured interviews
What are the most significant project's shortcomings?	Number and magnitude of the key failures	Prodoc, PRF, Project Annual Reports Stakeholders	Content analysis Semi-structured interviews
Efficiency			
What are timeliness, quality and quantity in implementation of project Activities and delivery of planned Outputs?	6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Annual Performance Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
What are project activity costs in comparison with other similar projects?	6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Annual Performance Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
What is the level of capacity of PMU and key partners to implement the project?	6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Annual Performance Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
3. Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
What is Activity delivery by the project so far?	Percentage of each Activity delivery from expected by the Mid-Term	PRF, Project Implementation Reports, actual project products and services (government documents, publications, equipment, infrastructure, etc.) Stakeholders	Content analysis Semi-structured interviews Visits of the project sites
What is the project progress to achieve expected Outputs and Outcomes?	Output, Outcome and Objective Indicators 6 point scale (UNDP-GEF directorate, 2014)	PRF, Project Implementation Reports, Government Documents, Survey Reports, Stakeholders	Content analysis Semi-structured interviews Visits of the project sites
4. Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Management arrangements			
Is the existing project management structure the same as the structure suggested in the project documents?	Yes/No	Prodoc, Quarterly and Annual Reports Project Management Team	Comparative analysis Semi-structured interviews
Does the existing project management structure allow effective project implementation?	Yes/No 6 point scale (UNDP-GEF	PIRs, Quarterly and Annual Reports	Content analysis

Evaluative questions	Indicators	Sources	Methodology
	directorate, 2014)	Project Management Team	Semi-structured interviews
What is the level of support of project management team from UNDP CO?	Adequate/Non-adequate 6 point scale (UNDP-GEF directorate, 2014)	Quarterly and Annual Reports, Project Steering Committee meeting minutes Project Management Team and UNDP CO	Content analysis Semi-structured interviews
What is level of support of the project management from MoEFCC, project States, other government agencies, and local administrations?	Adequate/Non-adequate 6 point scale (UNDP-GEF directorate, 2014)	PIRs, Quarterly and Annual Report of the PMU, Project Steering Committee meeting minutes Project Management Team Members of the project Project Steering Committee, Government Agencies	Content analysis Semi-structured interviews
What is the level of support of the project management from the Project Steering Committee?	Adequate/Non-adequate 6 point scale (UNDP-GEF directorate, 2014)	Quarterly and Annual Reports, Project Steering Committee meeting minutes Project Management Team UNDP CO staff, Project Steering Committee members	Content analysis Semi-structured interviews
Work planning			
Are there any delays between start of the project and actual implementation? Reasons for delay?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Inception Report, Project Annual Reports Project Management Team, UNDP CO staff, Project Steering Committee members	Content analysis Semi-structured interviews
Does the project have a Work Plan	Yes/No	Prodoc, Project Inception Report	Content analysis

Evaluative questions	Indicators	Sources	Methodology
for entire project lifetime? What is the quality of the plan?	6 point scale (UNDP-GEF directorate, 2014)		
Are project annual work plans present and detailed enough?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans	Content analysis
What is the quality of the PMU internal weekly/monthly planning?	6 point scale (UNDP-GEF directorate, 2014)	PMU internal work planning documents	Content analysis
Does the project practice Adaptive Management? If yes, how effective is it?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, PMU internal work plans, Annual and quarterly reports PMU staff	Content analysis Semi-structured interviews
What changes to the Project Results Framework and Theory of Change have been done so far as part of Adaptive Management	Key changes with justification	Annual Work Plans, PMU internal work plans, Annual and quarterly reports PMU staff	Content analysis Semi-structured interviews
Finance and Co-finance			
Is the quality of planning of the project annual budget adequate?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans	Content analysis
Is the level of the project financial management adequate to UNDP standards?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans, Annual project expenditures reports	Content analysis
What is the variance between planned and actual expenses by Outcomes and years?	Variance of the project expenditures (US\$, % of the planned expenditures)	Project Annual Work Plans, and Procurement Plans, Annual project expenditures reports	Content analysis

Evaluative questions	Indicators	Sources	Methodology
	6 point scale (UNDP-GEF directorate, 2014)		
Are project expenses to deliver project Outputs adequate and reasonable?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual project expenditures reports	Content analysis
Are annual project audit reports present?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual project audit reports	Content analysis
Are changes made in the project budget as a part of Adaptive Management adequate?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Project Annual Work Plans, and Procurement Plans, Annual project expenditures reports, Project Implementation Reports	Content analysis
What is the difference between planned and actual co-financing commitments?	Variance in planed and actual co-financing delivery (US\$, % of the planned co-financing) 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, Co-Financing Letters, Project Implementation Reports	Content analysis Co-financing table and graphs
Coherence in climate finance delivery with other multilateral entities			
What is the level of project partnership and cooperation with other climate change adaptation projects and programs in India?	Total number of functional partnerships 6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is overall project impact and contribution to climate change adaptation in India in comparison with other projects and programs?	6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports PMU staff, UNDP CO, Stakeholders	Content analysis Semi-structured interviews
M&E System			

Evaluative questions	Indicators	Sources	Methodology
Is the project M&E plan clear and relevant to the project Objective and Outcomes?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Prodoc, project M&E plan	Content analysis
What is the difference between planned and actual expenses for the project M&E?	Variance in planned and actual expenses on M&E (US\$, % of the planned expenses) 6 point scale (UNDP-GEF directorate, 2014)	Annual Work Plans, Project Implementation Reports	Comparative analysis
What is consistency of the project M&E system with national SDGs, NDC and other national reporting systems?	6 point scale (UNDP-GEF directorate, 2014)	PRF, national SDGs, NDC and other national reporting systems PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is the frequency and quality of update of the project indicator values and data credibility?	6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports	Project Implementation Reports
Was M&E framework used for the project adaptive management?	Yes/No	Annual Work Plans, Project Implementation Reports PMU staff	Content analysis Semi-structured interviews
What number of stakeholder are participating in the project M&E so far? How many of them are women?	Number of stakeholders participating in the project M&E Number of women (% of total stakeholder number)	Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is the quality of monitoring and management of the project risks and Environmental and Social Safeguards risks?	6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports, UNDP SESP, UNDP Risk Log PMU staff, Stakeholders	Content analysis Semi-structured interviews
Stakeholder Engagement			

Evaluative questions	Indicators	Sources	Methodology
What is the quality of the project stakeholder engagement strategies and activities?	6 point scale (UNDP-GEF directorate, 2014)	Project Stakeholder Engagement Plan, Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
How many partners are involved in the project implementation so far? How many of them are women?	Number of organizations/experts/community members involved Number of women (% of total stakeholder number)	Project Implementation Reports PMU staff, Stakeholders	Content analysis Semi-structured interviews
What is the level of local and national government participation in the project implementation?	Low/Medium/High Total number of national and local agencies participating in the project	Project Implementation Reports PMU staff UNDP CO National and local government	Content analysis Semi-structured interviews
What is the level of participation of local communities and other groups in the project implementation?	Total number of local stakeholders directly involved in the project (% of women) Total number of direct project beneficiaries (% of women)	Project Implementation Reports, Activity Reports PMU staff National and local government	Content analysis Semi-structured interviews
Is the project Grievance Redress Mechanism present and functional?	Number of grievances managed by the GRM 6 point scale (UNDP-GEF directorate, 2014)	Project Implementation Reports, GRM Reports PMU staff, Project Steering Committee, Local government, local communities	Content analysis Semi-structured interviews
Reporting			
What is the quality of the project Inception Report?	6 point scale (UNDP-GEF directorate, 2014)	Project Inception Report	Content analysis
What is the quality of the Project	6 point scale (UNDP-GEF	Project Annual and quarterly	Content analysis

Evaluative questions	Indicators	Sources	Methodology
Implementation Reports and Quarterly Reports?	directorate, 2014)	reports	
What is the quality of personal reporting of PMU staff, Back to the Office/Mission Reports, and Activity/Event Reports?	6 point scale (UNDP-GEF directorate, 2014)	Personal reporting of PMU staff, Back to the Office/Mission Reports, and Activity/Event Reports	Content analysis
What is the quality of reporting of project adaptive management changes?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual and quarterly reports	Content analysis
Are project annual reports validated and approved by the Project Steering Committee?	Yes/No	PSC meetings minutes PMU Staff, Members of Project Steering Committee	Content analysis Semi-structured interviews
Communication			
Are mechanisms of the project communication with stakeholders established and functional?	Yes/No Number of mechanisms 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Project Publications, other communication materials PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Are mechanisms for receiving stakeholder feedback on the project implementation established and functional?	Yes/No Number of mechanisms 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Project Publications, other communication materials PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Does the project have functional outreach and awareness campaigns?	Yes/No Number of campaigns/awareness activities	Annual and quarterly reports, Campaign/Awareness Activity reports, Project Publications, other communication materials	Content analysis

Evaluative questions	Indicators	Sources	Methodology
	6 point scale (UNDP-GEF directorate, 2014)	PMU Staff, Stakeholders	Semi-structured interviews
5. Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Financial risks to sustainability			
What is likelihood that financial resources will be available to support the project Outputs and Outcomes after its completion?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, partnership agreements, government documents, UNDP Risk Log PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What is level of dependence of the Outputs and Outcome sustainability on external financial sources?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, partnership agreements, government documents, UNDP Risk Log, Final Reports and Terminal Evaluation Reports from other projects PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Has the project established mechanisms to ensure financial sustainability of the project Outcomes?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, partnership agreements, government documents, UNDP Risk Log PMU Staff, Stakeholders	Content analysis Semi-structured interviews

Evaluative questions	Indicators	Sources	Methodology
Socio-economic risks to sustainability			
Are significant economic and social risks for the project Outcomes present?	Yes/No	Annual and quarterly reports, UNDP Risk Log, socio-economic assessment reports, SESP assessment, ESIA PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What is the level of stakeholder ownership on the project Outputs and Outcomes in terms of economic feasibility?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Feasibility assessment reports PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Are there mechanisms to sustain the project Outputs and Outcomes via stakeholder ownership?	Yes/No Number of mechanisms 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, partnership agreements, PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Institutional and governance risks to sustainability			
Are appropriate policies, legislation, and governance structures present to support project Outputs and Outcomes?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, government documents PMU Staff, Stakeholders	Content analysis Semi-structured interviews
Is the capacity of institutional and governance structures to sustain the project Outputs and Outcomes sufficient?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual reports PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What is the role of the project in		Annual reports, policy and	Content analysis

Evaluative questions	Indicators	Sources	Methodology
establishment of appropriate policy, legislation and capacity to sustain the project results?	Number of policy and legislation documents prepared for official approval Number of government officials and local people trained by the project 6 point scale (UNDP-GEF directorate, 2014)	legislation documents; Training Reports PMU Staff, Stakeholders	Semi-structured interviews
Environmental risks to sustainability			
Are there severe environmental factors that can influence sustainability of the project Outputs and Outcomes?	Yes/No	Annual and quarterly reports, Environment assessment reports, SESP, UNDP Risk Log PMU Staff, Stakeholders	Content analysis Semi-structured interviews
How effective are the project strategies to address environmental risks to sustainability?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Environment assessment reports, SESP, UNDP Risk Log PMU Staff, Stakeholders	Content analysis Semi-structured interviews
6. Country Ownership: What is the level of ownership of the project results by its stakeholders?			
What is the level of involvement of government agencies and other key partners in the project development and implementation?	6 point scale (UNDP-GEF directorate, 2014)	Stakeholder Engagement Plan, Project Annual Reports, Stakeholder engagement activity reports PMU Staff, Stakeholders	Content analysis Semi-structured interviews
What is the level of	Number of organizations	PSC structure, minutes of PSC	Content analysis

Evaluative questions	Indicators	Sources	Methodology
representativeness of the Project Steering Committees?	presented in the PSC 6 point scale (UNDP-GEF directorate, 2014)	meetings PMU Staff, PSC members	Semi-structured interviews
What is level of ownership and support of the project results by key government agencies, district administrations, and local communities?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual Reports, project agreements with government agencies and local communities PMU Staff, Stakeholders	Content analysis Semi-structured interviews
7. Gender Equity: What is the quality and magnitude of gender mainstreaming by the project?			
How many women were involved in the project development?	Number of women consulted 6 point scale (UNDP-GEF directorate, 2014)	List of stakeholders consulted during PPG phase Stakeholders	Content analysis Semi-structured interviews
What is the quality of the project Gender Mainstreaming Plan? Is it regularly reviewed by the PMU?	6 point scale (UNDP-GEF directorate, 2014)	Project Gender Mainstreaming Plan and its annual updates	Content analysis
Does the PRF have gender disaggregated indicators?	Yes/No Number of gender disaggregated indicators in PRF	PRF	Content analysis
What is the quality of monitoring and mitigation of the project gender related risks?	6 point scale (UNDP-GEF directorate, 2014)	Project Gender Mainstreaming Plan and its annual updates, SESP updates Stakeholders	Content analysis Semi-structured interviews
What is level of women involvement in implementation of the project activities?	Number of women (and %) involved in the project implementation	Project Annual Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
What is the percentage of women	Number of women (and %)	Project Annual Reports, Activity	Content analysis

Evaluative questions	Indicators	Sources	Methodology
among the project direct beneficiaries?	among direct project beneficiaries	Reports, Local Government Reports Stakeholders	Semi-structured interviews
What is the gender ratio in the PMU and Project Steering Committee	Percentage of women in the PMU and Project Steering Committee	Structure of the PMU and PSC	Content analysis
8. Innovativeness: What innovative approaches are used/introduced by the project?			
What is the number and character of innovative approaches applied by the project?	Number and description of the project innovative approaches	Project Annual Reports, Activity Reports Stakeholders	Content analysis Semi-structured interviews
9. Unexpected Results: What unexpected results (both positive and negative) have been produced by the project?			
What is the number, character, and key drivers of the project positive or neutral unexpected results?	Description of the project positive or neutral unexpected results	Project Annual and Quarterly Reports PMU staff and Stakeholders	Content analysis Semi-structured interviews
What is the number, character, and key drivers of the project negative unexpected results?	Description of the project negative unexpected results	Project Annual and Quarterly Reports PMU staff and Stakeholders	Content analysis Semi-structured interviews
What is the quality and timeliness of monitoring, management, and reporting of the project unexpected results?	6 point scale (UNDP-GEF directorate, 2014)	Project Annual and Quarterly Reports, supportive documents PMU staff and Stakeholders	Content analysis Semi-structured interviews
10. Replication and Scalability: How well the project lessons learned and best practices are replicated? What is the potential for scalability of the project results?			
Are lessons learned during the project implementation properly documented and shared with stakeholders and other projects?	Yes/No 6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, Project Publications, other communication materials	Content analysis

Evaluative questions	Indicators	Sources	Methodology
		PMU Staff, Stakeholders	Semi-structured interviews
What number of the project best practices and lessons learned applied by other projects and programs in India and abroad?	Number of project lessons and best practices applied in India and abroad	Annual and quarterly reports, other projects publications, reports and communication materials Stakeholders, PMU staff	Content analysis Semi-structured interviews
What is potential applicability and scalability of the project best practices and lessons learned in India and abroad?	6 point scale (UNDP-GEF directorate, 2014)	Annual and quarterly reports, other projects publications, reports and communication materials Stakeholders, PMU staff	Content analysis Semi-structured interviews

Annex 2. Project activities by target landscapes by July 2022

Name of the State	District	Target Landscape	Project progress	
			Output 1	Output 2
<i>Odisha</i>	Ganjam	Chilika-Ganjam	Landscapes delineated; Preparatory activities related to ecosystem restoration initiated	21 consultation meetings were organized by the project team at district level with the line department officials for livelihood planning and prioritization; Project Implementation Agencies (Relevant Line departments) identified and notified for executing the livelihood activities.
		Bahuda	Landscapes delineated; Preparatory activities related to ecosystem restoration initiated	
	Puri	Chilika-Puri	Landscapes delineated; Preparatory activities related to ecosystem restoration initiated	
		Mahanadi	Landscapes delineated; Preparatory activities related to ecosystem restoration initiated	
		Devi Mouth	Landscapes delineated; Preparatory activities related to ecosystem restoration initiated	
	Baleshwar	Talasari	Landscapes delineated; Preparatory activities related to	

			ecosystem restoration initiated		
	Kendrapara	Bhitarkarnika	Landscapes delineated Preparatory activities related to ecosystem restoration initiated Mangrove Restoration activities initiated		
<i>Maharashtra</i>	Sindhudurg	Devgad	Project Villages are identified, and implementation of the project interventions initiated in the identified villages; MCMC formed of the identified project villages, bank account opened of the MCMC villages; The Micro Plans for the project villages have been prepared and approved by respective Deputy Conservator of Forests	Demonstration of SRI is being carried out in Devgad Landscape in Sindhudurg. The Mangrove Foundation in convergence with Agriculture Department have promoted SRI on 1108 ha area in Devgad (454 ha), Malvan (454 ha) and Vengurla (200 ha). Foundation has distributed 335 Cono weeders to farmers promoting SRI. Devgad (35), Malvan (100) and Vengurla (200). 39 Units of 7 Pearl Spot fish nursery units established in Sindhudurg District	
		Malvan			
		Vengurla			
	Ratnagiri	Dapoli	Project Villages are identified, and implementation of the project interventions initiated in the identified villages. MCMC formed of the identified project villages, bank account opened		4 units of Oyster Farming have been established in Rajapur landscape of Ratnagiri
		Guhagar			
		Rajapur			

			<p>of the MCMC villages.</p> <p>The Micro Plans for the project villages have been prepared and approved by respective Deputy Conservator of Forests.</p>	
	Raigad	Alibaug	<p>Project Villages are identified, and implementation of the project interventions initiated in the identified villages;</p> <p>MCMC formed of the identified project villages, bank account opened of the MCMC villages;</p> <p>The Micro Plans for the project villages have been prepared and approved by respective Deputy Conservator of Forests;</p> <p>District superintendent Agriculture Officer, Raigad district have identified 50 ha area for watershed works, and which is approved in the District Level Coordination Committee meeting</p>	
		Shrivardhan		
	Palghar	Dahanu	<p>Project Villages are identified, and implementation of the project interventions initiated in the identified</p>	<p>The Project has organised training program on clown fish aquaculture for 69 beneficiaries from Palghar, Raigad</p>
		Palghar		

			<p>villages.</p> <p>MCMC formed of the identified project villages, bank account opened of the MCMC villages.</p> <p>The Micro Plans for the project villages have been prepared and approved by respective Deputy Conservator of Forests.</p>	and Sindhudurg district.
<u>Overall Maharashtra</u>				<p>39 Units of Ornamental Fish Farming Units have been established</p> <p>24 Units of Mussel Farming have been established in the project district</p> <p>27 Sea bass cage culture units established in project districts</p>
<i>Andhra Pradesh</i> (No update)	Nellore	Pulicat Lake	No Activities implemented yet	No Activities implemented yet
		Nelapattu Bird Sanctuary and surrounding communities		
	East Godavari	Coringa Wildlife Sanctuary and surrounding communities		

		Bantumilli Wetlands		
	Srikakulam	Telineelapuram,		
		Sompeta		
Krishna	Krishna Wildlife Sanctuary			

Annex 11- IE TOR

- International (Lead consultant)
- National consultant- Ecosystem-based adaptation
- National consultant- Climate-resilient livelihoods and EbA institutionalization Consultant

UNDP-GCF project titled ‘Enhancing Climate Resilience of India’s Coastal Communities’

TERMS OF REFERENCE (TOR)

For procuring the services of an International Consultant to conduct the Interim Evaluation

Project Title:	UNDP-GCF project titled ‘Enhancing Climate Resilience of India’s Coastal Communities’
Scope of Advertisement:	International
Type of Contract:	Individual Consultant
Post Type:	International Consultant
Duty Station:	Home-based (with mission travel if possible)
Expected Areas of Travel:	10 Target landscapes in the three states - Andhra Pradesh, Maharashtra and Odisha
Languages:	English
Duration of Contract:	35 working days spread over 12.5 weeks
Start Date	Immediately after concluding Contract Agreement

1.0 INTRODUCTION

This is the Terms of Reference (ToR) for the Interim Evaluation (IE) of the United Nations Development Programme (UNDP) supported Green Climate Fund (GCF) financed project “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084) implemented through the Ministry of Environment, Forest and Climate Change and the nodal departments of the target State governments which is to be undertaken in 2022. The project is implemented in the states of Andhra Pradesh, Odisha and Maharashtra, to enhance the resilience of vulnerable coastal communities to climate change through ecosystem-based adaptation (EbA). The project was started on 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation. This ToR sets out the expectations for this Interim Evaluation (IE).

2.0 PROJECT BACKGROUND AND INFORMATION

The Green Climate Fund (GCF) project- on “Enhancing Climate Resilience of India’s Coastal Communities” supports the Government of India and the state governments in the project states of Andhra Pradesh, Odisha and Maharashtra, to enhance the resilience of vulnerable coastal communities to climate change through ecosystem-based adaptation (EbA). The project

combines GCF grant finance with significant leveraged co-finance from central and state governments to shift the paradigm towards a new approach, integrating ecosystem-centred and community-based approaches to adaptation into coastal management and planning by the public sector, the private sector and civil society.

The project supports the Ministry of Environment, Forest and Climate Change and the nodal departments of the target State governments, to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach in three target states. This project as well contributes towards the achievement of climate priorities outlined in India's National Action Plan on Climate Change (2008), the State Action Plans, as well as commitments outlined in India's Nationally Determined Contributions (2015).

The Climate Change, Resilience and Energy portfolio at UNDP is currently working in various thematic areas of climate change adaptation and mitigation; disaster management and resilience; and access to clean and efficient energy. The project works at national, state and community levels to enhance capacities for ecosystem-based approaches to climate change adaptation and enable climate policy and finance shifts to catalyse climate action in all of India's coastal states and union territories.

The project will enhance the resilience of coastal communities throughout India, through the implementation of interventions under the following inter-linked outputs:

- Output 1: Enhanced resilience of coastal and marine ecosystems and their services;
- Output 2: Climate adaptive livelihoods for enhanced resilience of vulnerable coastal communities; and
- Output 3: Strengthened coastal and marine governance and institutional frameworks for climate resilient management of coastal areas.

The above will be achieved through interventions outlined below in target landscapes in the three states - Andhra Pradesh, Maharashtra and Odisha:

- Protect and restore ecosystems such as mangroves and seagrass
- Help communities adopt climate-adaptive livelihoods and value chains
- Mainstream EbA principles into coastal planning and governance, enabling intersectoral coordination for addressing climate risk across all of India's coastal states.

Being half –way the project life, this IE will assess progress towards and likelihood of achievement of outcomes and impacts and recommend strategies that will enhance delivery of intended project results commensurate with the investments made.

3.0 OBJECTIVES OF THE INTERIM EVALUATION

The IE will assess implementation of the project progress towards the achievement of the project objectives and outcomes as specified in the UNDP Project Document and GCF Funded Activity Agreement (FAA), and assess early signs of project success, or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The IE will also review the project's strategy and its risks to sustainability.

The IE will take into consideration assessment of the project in line with the following evaluation criteria from the GCF IEU TOR (GCF/B.06/06) and GCF Evaluation Policy, along with guidance provided by the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC). Additional evaluation criteria can be assessed, as applicable. The IE must assess the following:

- **Implementation and adaptive management** – seek to identify challenges and propose additional measures to support more efficient and effective implementation. The following aspects of project implementation and adaptive management will be assessed: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications.
- **Risks to sustainability** – seeks to assess the likelihood of continued benefits after the project ends. The assessment of sustainability at the IE stage considers the risks that are likely to affect the continuation of project outcomes. The IE should validate the risks identified in the Project Document, Annual Project Reports, and the ATLAS Risk Management Module and whether the risk ratings applied are appropriate and up to date.
- **Relevance, effectiveness and efficiency** - seeks to assess the appropriateness in terms of selection, implementation and achievement of FAA and project document results framework activities and expected results (outputs, outcomes and impacts).
- **Coherence in climate finance delivery with other multilateral entities** - looks at how GCF financing is additional and able to amplify other investments or de-risk and crowd-in further climate investment.
- **Gender equity** - ensures integration of understanding on how the impacts of climate change are differentiated by gender, the ways that behavioural changes and gender can play in delivering paradigm shift, and the role that women play in responding to climate change challenges both as agents but also for accountability and decision-making.
- **Country ownership of projects and programmes** - examines the extent of the emphasis on sustainability post project through country ownership; on ensuring the responsiveness of the GCF investment to country needs and priorities including through the roles that countries play in projects and programmes.
- **Innovativeness in results areas** - focuses on identification of innovations (proof of concept, multiplication effects, new models of finance, technologies, etc.) and the extent to which the project interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways.

- **Replication and scalability** – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCF/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations).
- **Unexpected results, both positive and negative** - identifies the challenges and the learning, both positive and negative, that can be used by all parties (governments, stakeholders, civil society, AE, GCF, and others) to inform further implementation and future investment decision-making.

4.0 INTERIM EVALUATION APPROACH AND METHODOLOGY

The IE team, consisting of an International Consultant (lead consultant) and two National Consultants (one is responsible to look at activities associated with ecosystem and community-based adaptation to climate change and one for climate resilient livelihoods and institutionalisation related components), must provide evidence-based information that is credible, reliable, and useful. The national consultants to provide the local content while the international consultant will be the Lead Consultant to ensure the deliverables are realized.

The IE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. baseline funding proposal submitted to GCF, FAA, the Project Document, project reports including Annual Performance Reports, Quarterly Progress Reports, UNDP Environmental & Social Safeguard Policy, project budget revisions, records of surveys conducted, national strategic and legal documents, stakeholder maps, and any other materials that the team considers useful for this evidence-based assessment).

The IE is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, Implementing Partner, NDA focal point, government counterparts, the UNDP Country Office, Regional Technical Advisers, and other principal stakeholders and beneficiaries.

Engagement of stakeholders is vital to a successful IE. Stakeholder involvement should include (where possible) surveys/questionnaires, focus groups, interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, local government, CSOs, project beneficiaries, etc. If possible (given the COVID restrictions) the IE team is expected to conduct field missions to selected landscape project states of Andhra Pradesh, Odisha and Maharashtra where the IE team should be able to meet the project responsible parties and conduct site verification, to be decided in consultation with the project team. Data collection (government data/records, field observation visits, CDM verifications, public expenditure reporting, GIS data, etc.) will be used to validate evidence of results and assessments (including but not limited to: assessment of Theory of Change, activities delivery, and results/changes occurred).

¹ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

The specific design and methodology for the IE should emerge from consultations between the IE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the IE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The IE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the IE report.

The final methodological approach including interview schedule, field visits and data to be used in the IE must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the IE team.

The final IE report should describe the full IE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the assessment. The final report must also describe any limitations encountered by the IE team during the evaluation process, including limitations of the methodology, data collection methods, and any potential influence of limitation on how findings may be interpreted, and conclusions drawn. Limitations include, among others: language barriers, inaccessible project sites, limitations due to COVID-19 pandemic, issues with access to data or verification of data sources, issues with availability of interviewees, methodological limitations to collecting more extensive or more representative qualitative or quantitative evaluation data, deviations from planned data collection and analysis set out in the ToR and Inception Report, etc. Efforts made to mitigate the limitations should also be included in the IE report.

5.0 DETAILED SCOPE OF THE IE

The IE team will assess the following categories of project progress. The following questions are intended to guide the IE team to deliver credible and trusted evaluations that provide assessment of progress and results achieved in relationship to the GCF investment, can identify learning and areas where restructuring or changes through adaptive management in project implementation are needed, and can make evidence-based clear and focused recommendations that may be required for enhancing project implementation to deliver expected results and to what extent these can be verified and attributed to GCF investment.

5.1 Project Strategy

5.1.1 Project design:

- i) Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- ii) Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- iii) Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?

- iv) Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- v) Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- vi) If there are major areas of concern, recommend areas for improvement.

5.1.2 Results Framework/Log frame:

- i) Undertake a critical analysis of the project's log frame indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- ii) Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- iii) Examine if progress so far has led to or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance, etc.) that should be included in the project results framework and monitored on an annual basis.
- iv) Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.
- v) Ensure that the indicators (gender-disaggregated) are SMART, aligned with GCF/Results Management Framework (RMF)/Performance Measurement Frameworks (PMFs) and the guidance in the GCF programming manual.
- vi) Evaluate the Theory of Change (ToC) proposed by the project during the inception and design phases in comparison to the approach, relevance, actions, interventions, practicality, and current context. Foresee the way forward and propose necessary adjustments.

5.2 **Relevance, Effectiveness and Efficiency**

- i) Were the context, problem, needs and priorities well analyzed and reviewed during project initiation?
- ii) Are the planned project objectives and outcomes relevant and realistic to the situation on the ground?
- iii) Do outputs link to intended outcomes which link to broader paradigm shift objectives of the project?
- iv) Are the outputs being achieved in a timely manner? Is this achievement supportive of the ToC and pathways identified?
- v) How is the project Theory of Change (ToC) used in helping the project achieve results/ How is the ToC applied through the project??
- vi) Is the project Theory of Change (ToC) and intervention logic coherent and realistic? Does the ToC and intervention logic hold or does it need to be adjusted? Reconstruct the ToC, if appropriate, aligning it with the GCF ToC format.

- vii) Verify the mitigation impact that the project has achieved. Analyse the GHG emissions achieved (including indirect emissions). Has an appropriate MRV system for GHG emission been established and implemented?
- viii) Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- ix) Are the outputs being achieved in a timely manner? Is this achievement supportive of the ToC and pathways identified?
- x) What and how much progress has been made towards achieving the overall outputs and outcomes of the project (including contributing factors and constraints)?
- xi) To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints)?
- xii) How realistic are the risks and assumptions of the project?
- xiii) How did the project deal with issues and risks in implementation?
- xiv) To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?
- xv) Are the project's governance mechanisms functioning efficiently?
- xvi) To what extent did the design of the project help or hinder achieving its own goals?
- xvii) Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management? To what extent and how the project applies adaptive management?
- xviii) What, if any, alternative strategies would have been more effective in achieving the project objectives?

5.3 Progress Towards Results

5.3.1 Progress Towards Outcomes and Outputs Analysis:

- i) By assessing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.
- ii) Assess the log frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each indicator; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator²	Baseline Level³	Level in 1st APR (self-reported)	Midterm Target⁴	End-of-project Target	Midterm Level & Assessment⁵	Achievement Rating⁶	Analysis: status of indicator; justification for rating (triangulated with evidence and data); how realistic it is for target to be achieved
Fund Level Impact 1:	Indicator 1:							
	Indicator 2:							
Fund Level Impact 2:	Indicator 1:							
	Indicator 2:							
Outcome	Indicator 1:							
	Indicator 2:							
Output 1:	Indicator 1:							
	Indicator 2:							
Output 2:	Indicator 1:							
	Indicator 2:							
Output 3:	Indicator 1:							

² Populate with data from the Log frame and scorecards

³ Populate with data from the Project Document

⁴ If available

⁵ Colour code this column only

⁶ Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

	Indicator 2:							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes and outputs analysis:

- Assess whether the total number of beneficiaries and indirect beneficiaries of the project has been properly calculated.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.
- Include a comprehensive assessment of the impact of COVID-19 on different aspects of project implementation. Assess the impact on results delivery, overall funded activity performance along with a plan of action to address these.

5.4 Project Implementation and Adaptive Management

5.4.1 Management Arrangements:

- i) Review overall effectiveness of project management as outlined in the FAA/Funding proposal. Have changes been made and have these been approved by GCF? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- ii) Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- iii) Review the quality of support provided by UNDP and recommend areas for improvement.

5.4.2 Work Planning:

- i) Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- ii) Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- iii) Examine the use of the project's results framework/ log frame as a management tool and review any changes made to it since project start.
- iv) Assess the feasibility of completing the proposed activities within the given project timeline (if extension was sought for any project milestone; please consider the revised timelines as well)

5.4.3 Financing and Co-financing

- i) Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- ii) Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.

- iii) Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?
- iv) Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- v) Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Comment on the use of different financial streams (parallel, leveraged, mobilized finance), as applicable in the context of the project – see GCF policy on co-finance⁷. Discuss whether co-finance related conditions and covenants, as listed in the FAA, have been fulfilled, as applicable.
- vi) Conduct an analysis of materialized co-financing and implications for project scope and results. If co-finance is not materialising as planned (timed and/or amount), discuss the impact of that on the project and results on the ground.
- vii) Assess factors that contributed to low/high expenditure rate

5.4.4 Coherence in climate finance delivery with other multilateral entities

- i) Who are the partners of the project and how strategic are they in terms of capacities and commitment?
- ii) Is there coherence and complementarity by the project with other actors for local other climate change interventions?
- iii) To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?
- iv) How has the project contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

5.4.5 Project-level Monitoring and Evaluation Systems:

- i) Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- ii) Discuss any quality assuring mechanisms being used (e.g. ISO standard, government accreditations, international certificates, etc.)
- iii) Is project reporting and information generated by the project linked to national SDGs, NDC and other national reporting systems?
- iv) Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

⁷ <https://www.greenclimate.fund/sites/default/files/document/policy-cofinancing.pdf>

5.4.6 Stakeholder Engagement:

- i) Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- ii) Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- iii) Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- iv) Is a grievance mechanism in place? If so, assess its effectiveness

5.4.7 Social and Environmental Standards (Safeguards)

- i) Validate the risks identified in the project's most current SESP/ESIA, and those risks' ratings; are any revisions needed?
- ii) Summarize and assess the revisions made since Board Approval (if any) to:
 - o The project's overall safeguards risk categorization.
 - o The identified types of risks⁸ (in the SESP).
 - o The individual risk ratings (in the SESP).
- iii) Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at the Funding Proposal stage (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

5.4.8 Reporting:

- i) Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- ii) Assess how well the Project Team and partners undertake and fulfil GCF reporting requirements (i.e. how have they addressed poorly rated APRs, if applicable?)
- iii) Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.
- iv) Assess the efficiency, timeliness, and adequacy of reporting requirements

5.4.8 Communications:

- i) Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback

⁸ Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

- ii) Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- iii) For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

5.5 Sustainability

Validate whether the risks identified in the FAA and Funding proposal, APRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why. In addition, assess the following risks to sustainability

5.5.1 Financial risks to sustainability:

What is the likelihood of financial and economic resources not being available once the GCF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

5.5.2 Socio-economic risks to sustainability:

Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

5.5.3 Institutional Framework and Governance risks to sustainability:

Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

5.5.4 Environmental risks to sustainability:

Are there any environmental risks that may jeopardize sustenance of project outcomes?

5.6 Country Ownership

- i) To what extent is the project aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?

- ii) How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- iii) To what extent are country level systems for project management or M&E utilized in the project?
- iv) Is the project, as implemented, responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?
- v) Were the modes of deliveries of the outputs appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of the result achieved?

5.7 Gender equity

- i) Does the project only rely on sex-disaggregated data per population statistics?
- ii) Are financial resources/project activities explicitly allocated to enable women to benefit from project interventions?
- iii) Does the project account in activities and planning for local gender dynamics and how project interventions affect women as beneficiaries?
- iv) Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- v) How do the results for women compare to those for men?
- vi) Is the decision-making process transparent and inclusive of both women and men?
- vii) To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?
- viii) Did the project sufficiently address cross cutting issues including gender?
- ix) How does the project incorporate gender in its governance or staffing?

5.8 Innovativeness in results areas

What are the lessons learned to enrich learning and knowledge generation in terms of how the project played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the project and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

5.9 Unexpected results, both positive and negative

- i) What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape? Please account for factors both within the AE/EE and external.
- ii) Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?
- iii) What factors have contributed to the unintended outcomes, outputs, activities, results?

iv) Do any of the unintended results constitute a major change?⁹

5.10 Replication and Scalability

- i) What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- ii) Assess the effectiveness of exit strategies and approaches to phase out assistance provided by the project including contributing factors and constraints? Is there a need for recalibration?
- iii) What factors of the project achievements are contingent on specific local context or enabling environment factors?
- iv) Are the actions and results from project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- v) What are the key factors that will require attention in order to improve prospects of sustainability, scalability or replication of project outcomes/outputs/results?

5.11 Conclusions, Recommendations and Lessons Learned

The IE team will include a section of the report setting out the evaluation's evidence-based conclusions, in light of the findings. Explain whether the project will be able to achieve planned development objective and outcomes by the end of implementation.

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary.

The IE team should make no more than 10 recommendations total.

The Interim Evaluation will also include a separate section with a concise and logically articulated set of lessons learned (new knowledge gained from the project, context, outcomes, even evaluation methods; failures/lost opportunities to date, what might have been done better or differently, etc.). Lessons should be based on specific evidence presented in the report and can be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.

The Interim Evaluation report's findings, conclusions, recommendations and lessons learned need to consider gender equality and women's empowerment and other cross-cutting issues.

5.12 Ratings

The IE team will include its ratings of the project's results and brief descriptions of the associated achievements in an *Interim Evaluation Ratings & Achievement Summary Table* in the Executive Summary of the Interim Evaluation report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

⁹ See Section '9.4 Major Changes and Restructuring' in the [GCF Programming Manual](#)

Table. IE Ratings & Achievement Summary Table for the Enhancing Climate Resilience of India's Coastal Communities project.

Measure	IE Rating¹⁰	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Output 1 Achievement Rating: (rate 6 pt. scale)	
	Output 2 Achievement Rating: (rate 6 pt. scale)	
	Output 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6.0 TIMEFRAME (DURATION OF WORK)

The total duration of the IE will be approximately 30 working days over a period of 11.5 weeks. A National Consultant will complement the Lead/International Consultant for a period of 30 working days over the same period. The tentative IE timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	TIME PERIOD
I. Desk Review and Inception Report		
Document review and preparation of IE Inception Report	5 days	15 th June-20 th June 2022
Addressing comments and finalizing IE Inception Report	...	20 th -22 nd June 2022
II. Field (Virtual is possible, depending on COVID situation in the country) Mission and Data Collection		
IE field mission: stakeholder meetings, interviews, project site visits	14 days	23 rd June- 7 th July 2022

10 Ratings for Objective/Outcome Achievement and Project Implementation & Adaptive Management: 6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings; 5 = Satisfactory (S): meets expectations and/or no or minor shortcomings; 4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings; 3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings; 2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings; 1 = Highly Unsatisfactory (HU): severe shortcomings, Unable to Assess (U/A): available information does not allow an assessment

Ratings for Sustainability: 4 = Likely (L): negligible risks to sustainability; 3 = Moderately Likely (ML): moderate risks to sustainability; 2 = Moderately Unlikely (MU): significant risks to sustainability; 1 = Unlikely (U): severe risks to sustainability; Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability

Presentation of initial findings of the IE mission	3 day	8 ^h -10 July 2022
III. Report Writing		
National Consultants draft their reports and submit them to the Lead Consultant	8 days	11 th -18 th July 2022
Lead Consultant reviews National Consultants' reports and develops draft IE report #1	5 days	25-30 July 2022
Circulation of draft IE report #1 for comments by Commissioning Unit	...	1st August 2022
Incorporation of comments on draft IE report #1 + Submission of draft IE report #2	3 days	5 th -8 th August 2022
Circulation of draft IE report #2 for comments	...	9 th August 2022
Consolidation of comments by Commissioning Unit	...	18 th -22 nd August 2022
Incorporation of comments on draft IE report #2 by IC + Submission of final IE report + completed Audit Trail by IC (Report length should not exceed 50 pages, excluding annexes)	3 days	23 rd -25 th August 2022
Conducting a Concluding Stakeholder Workshop (optional)	...	TBD WE have some time reserve (September) until October 1 here

7.0 IE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	IE Inception Report	Preparing evaluation methodology, work plan and structure of the IE report, and options for site visits	by 20 June 2022	Research, Collation of information, and compiling of the report
2	Presentation	consolidating and presenting the Initial Findings	by 10 July 2022	Presenting the initial findings to Project Management and Commissioning Unit
3	Draft IE Report #1	Preparation of the full report (using guidelines on content outlined in Annex B) with annexes	1 August 2022	Preparation and sharing of the 1 st draft to Commissioning Unit, reviewed by

				RTA, Project Coordinating Unit, NDA focal point
4	Draft IE Report #2	Preparation full report (using guidelines on content outlined in Annex B) with annexes	9 August 2022	Preparation and sharing of the 2 nd draft to Commissioning Unit, reviewed by RTA, Project Coordinating Unit, NDA focal point
4	Final IE Report*	Preparation of a revised report with audit trail detailing how all received comments have (and have not) been addressed in the final report	25 August 2022	Preparation and sharing of the final report to Commissioning Unit
5	Concluding Stakeholder Workshop (optional)	Supporting the the project team in conducting the concluding stakeholder workshop to present and discuss key findings and recommendations of the evaluation report, and key actions in response to the report.	Within 1-2 weeks of completion of final IE report	Support the Project Team and Commissioning Unit

*The final IE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8.0 IE ARRANGEMENTS

The principal responsibility for managing this IE resides with the Monitoring & Evaluation Focal Point of the Commissioning Unit. The Commissioning Unit for this project's IE is the UNDP Country Office (CO) in India, during this assignment, the IE team will report to the Monitoring and Evaluation Focal Point in Commissioning Unit who will provide guidance and ensure satisfactory completion of deliverables.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the IE team. The Project Team will be

responsible for liaising with the IE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9.0 TEAM COMPOSITION

A team of three independent consultants will conduct the IE - one Lead consultant (International with experience and exposure to projects and evaluations in other regions globally) and two National team experts, from the country of the project with expertise in the relevant area. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The National Consultants will be expected to conduct field missions in the project landscapes. The IE lead consultant (International Consultant) will be designated team leader and shall be responsible for the overall design and writing of the IE report and as well as the overall quality of the final report submitted to UNDP with a field mission if possible. However, the National Consultants shall support the Lead in drafting the report including all the data gathered from the field mission and interviews. The two national evaluators and a lead IE consultant will be recruited separately; however, all three consultants shall form a team carrying out this IE, under the overall guidance of the Lead consultant and overall management of the Commissioning Unit.

The selection of international consultant will be aimed at maximizing the overall "team" qualities in the following areas: The weight to all preferred qualifications apart from the minimum academic qualifications and experience are shown in the Technical Evaluation Criteria below.

Qualifications for the International Consultant

- A Master's degree in natural sciences; with a specialization in environment, biodiversity, climate change, or other closely related field.
- Fluency in written and spoken English.
- Highly knowledgeable of participatory monitoring and evaluation processes.
- Familiarity with India's development, environment, climate change and other relevant policy frameworks.
- Experience applying SMART indicators and reconstructing or validating baseline scenarios.
- Competence in adaptive management, as applied to Natural Resource Management and Climate Change.
- Experience working in Asia region and/or India.
- Work experience in relevant technical areas for at least 7 years.
- Minimum of 4 years proven track record of application of results-based approaches to evaluation of projects focusing on Conservation Science, Natural Resource Management and Climate Change.
- Demonstrated understanding of issues related to gender and Natural Resource Management and Climate Change, experience in gender sensitive evaluation and analysis.
- Excellent communication skills.
- Demonstrable analytical skills.

- Project evaluation/review experiences within United Nations system will be considered an asset.

10.0 EVALUATOR ETHICS

The evaluation team will be held to the highest ethical standards and is required to sign a code of conduct (see ToR Annex D) upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG Ethical Guidelines for Evaluation. The evaluation team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluation team must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

11.0 PAYMENT MODALITIES AND SPECIFICATIONS

Instalment of Payment/ Period	Deliverables or Documents to be Delivered	Approval should be obtained	Percentage of Payment
1 st Instalment	Satisfactory delivery of the final IE Inception Report	UNDP CO	20%
2 nd Instalment	Satisfactory delivery of the draft IE report #1	UNDP CO	50%
3 rd Instalment	Satisfactory delivery of the Final IE report + completed Audit Trail	UNDP CO and UNDP Nature, Climate and Energy Regional Technical Advisor (RTA)	30%

Criteria for issuing the final payment of 30%¹¹:

- The final IE report includes all requirements outlined in the IE TOR and is in accordance with the IE guidance.

¹¹ The Commissioning Unit is obligated to issue payments to the IE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the IE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

- ii) The final IE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other IE reports).
- iii) The Audit Trail includes responses to and justification for each comment listed.
- iv) RTA approvals are via signatures on the TE Report Clearance Form)

12. APPLICATION PROCESS

The candidate will be selected through the GPN roster.

12.1 Documents to be included in the application process

Interested individual consultants must submit the following documents/information to demonstrate their qualifications **in one single PDF document:**

- 1) **CV and a Personal History Form (P11 form¹²);** indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references.

13.0 CRITERIA FOR EVALUATION OF PROPOSAL:

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

13.1 Selection Criteria

Qualified Individual Consultant is expected to submit both the Technical and Financial Proposals. Individual Consultants will be evaluated based on Cumulative Analysis as per the following scenario:

- i) Responsive/compliant/acceptable, and
- ii) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation. In this regard, the respective weight of the proposals is:
 - Technical Criteria weight is 70%
 - Financial Criteria weight is 30%

Evaluation Criteria	Weight	Max. Point
Technical Competence (based on CV, Proposal and interview (if required))	70%	100
Understanding the Scope of Work; comprehensiveness of the methodology/approach; and organization & completeness of the proposal		30
Minimum educational background		15
Minimum years of experience		30
Additional competences (agriculture and Environment /M&E)		25
Financial (Lower Offer/Offer X100)	30%	30
Total Score	Technical Score * 70% + Financial Score *30%	

* It is a mandatory criterion and shall have a minimum of 50%

¹² http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

13.2 Recommended presentation of technical and financial proposals

For purposes of generating proposals whose contents are uniformly presented and to facilitate their comparative review, you are hereby given a template of the Table of Content. Accordingly, your Technical Proposal document must have at least the preferred content as outlined in the IC Standard Bid Document (SBD). The financial proposals should be ALL inclusive.

14.0 QUALIFICATIONS

14.1 Academic Qualifications:

Advanced University Degree (Masters or equivalent) in natural sciences; with a specialization in environment, biodiversity, climate change or any other closely related field

14.2 Experience:

- i) Minimum 7 years of relevant professional experience in natural resource management and climate change.
- ii) Minimum of 4 years proven track record of application of results-based approaches to evaluation of projects focusing on Conservation Science, Natural Resource Management and Climate Change.
- iii) Highly knowledgeable of participatory monitoring and evaluation processes.
- iv) Familiarity with India's development, environment, climate change and other relevant policy frameworks.
- v) Experience of conducting Project evaluations within the United Nations system will be considered an asset.

14.3 Competencies:

- i) Recent experience with result-based management evaluation methodologies: (15%)
- ii) Experience applying SMART indicators and reconstructing or validating baseline scenarios; (15%)
- iii) Competence in adaptive management, as applied to GCF Climate Change focal areas, (15%)
- iv) Experience working with project evaluations; (15%).
- v) Experience working in South Asian countries; (10%)
- vi) Demonstrated understanding of issues related to gender and Climate change, environment conservation, biodiversity, Livelihood, ecosystem management or food security experience in gender sensitive evaluation and analysis. (10%)
- vii) Excellent communication skills; (10%)
- viii) Demonstrable analytical skills; (10%)

14.4 Language and other skills:

Proficiency in both spoken and written English

14.5 Compliance of the UN Core Values:

- i) Demonstrates integrity by modelling the UN's values and ethical standards,
- ii) Promotes the vision, mission, and strategic goals of UNDP,

- iii) Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability,
- iv) Treats all people fairly without favoritism,
- v) Fulfils all obligations to gender sensitivity and zero tolerance for sexual harassment.

15.0 CONFIDENTIALITY

The Individual Consultant shall not either during the term or after termination of the assignment, disclose any proprietary or confidential information related to the consultancy service without prior written consent. Proprietary interests on all materials and documents prepared by the consultants under the assignment shall become and remain properties of UNDP.

ANNEX A. LIST OF DOCUMENTS TO BE REVIEWED

1. Funding Proposal
2. Funded Activity Agreement (FAA)
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Annual Performance Reports (APRs)
7. Progress reports and work plans of the various implementation task teams
8. Audit reports
9. Mission reports
10. All monitoring reports prepared by the project
11. Financial and Administration guidelines used by Project Team

The following documents will also be available:

12. Project operational guidelines, manuals and systems
13. UNDP country/countries programme document(s)
14. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
15. Project site location maps

ANNEX B: Guidelines on Contents for the Midterm Review Report¹³

Basic Report Information (*for opening page or title page*)

- Title of UNDP-supported GCF-financed project
- UNDP PIMS# and GCF project ID#
- IE time frame and date of report
- Region and countries included in the project
- Executing Agency/Implementing Partner and other project partners
- IE team members

Acknowledgements

¹³ The Report length should not exceed 40 pages in total (not including annexes).

Table of Contents

Acronyms and Abbreviations

Project Information Table

Executive Summary (2-3 pages)

- Project Description (brief)
- Project Progress Summary
- IE Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendations Summary Table

Introduction (2-3 pages)

- Purpose of the IE and objectives
- Scope & Methodology: principles of design and execution of the IE, IE approach and data collection methods, limitations
- Structure of the IE report

Project Description and Background Context (3-5 pages)

- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

Findings (12-14 pages)

4.1 Project Strategy

- Project Design
- Results Framework/Log frame

4.2 Relevance

4.3 Effectiveness and Efficiency

4.4 Progress Towards Results

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective
- Comprehensive assessment of impact of COVID-19 on project implementation

4.5 Project Implementation and Adaptive Management

- Management Arrangements
- Work planning
- Financing and Co-financing
- Coherence in climate finance delivery with other multilateral entities
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Social and Environmental Standards (Safeguards)
- Reporting

- Communications
- 4.6 Sustainability**
 - Financial risks to sustainability
 - Socio-economic to sustainability
 - Institutional framework and governance risks to sustainability
 - Environmental risks to sustainability
- 4.7 Country Ownership**
- 4.8 Innovativeness in results areas**
- 4.9 Unexpected results, both positive and negative**
- 4.10 Replication and Scalability**
- 4.11 Gender Equity**

Conclusions, Recommendations and Lessons Learned (*4-6 pages*)

Conclusions

- 5.1**
 - Comprehensive and balanced statements (that are evidence-based and connected to the IE's findings) which highlight the strengths, weaknesses and results of the project

5.2 Lessons Learned

- Concise and logically articulated set of lessons learned based on specific evidence presented in the report, to be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.

5.2 Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

Annexes

- IE ToR (excluding ToR annexes)
- IE evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Questionnaire or Interview Guide used for data collection
- Mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed IE final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft IE report

ANNEX C: IE EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)

Evaluative Questions	Indicators	Sources	Methodology
<p>Relevance: Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</p>			
<p>Do the project activities address the gaps in the policy, regulatory and capacity framework at the national level? To what extent is the project suited to local and national development priorities and policies?</p>	<p>Degree to which the project supports national environmental objectives. Addressing gaps and/or inconsistency with the national and local policies and priorities Addressing gaps in capacity framework.</p>	<p>National policies, Project Document</p>	<p>Document analysis</p>
<p>How relevant the project's intended outcomes? How relevant is the involvement of different partners in the Project implementation given the institutional and policy framework for environment and food security sectors in India?</p>	<p>Degree to which the project supports national environmental and development objectives</p>	<p>Project documents and evaluations</p>	<p>Document analysis</p>
<p>Were the project's objectives and components relevant, according to the social and political context?</p>	<p>Degree of coherence between the project and national priorities, policies and strategies</p>	<p>Government of India, UNDP, Project Management</p>	<p>Interviews</p>

<p>Are counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?</p> <p>Are the stated assumptions and risks logical and robust?</p> <p>And did they help to determine activities and planned outputs? Is the project coherent with UNDP programming strategy for India?</p> <p>To what extent is the project in line with GCF operational programs</p>	<p>Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities</p> <p>Coherence UNDP and GCF operational programming</p>	<p>Project partners and relevant stakeholders</p> <p>UNDAF, UNDP/GCF Programming statements</p>	<p>Interviews</p> <p>Document analysis</p>
<p>Effectiveness: Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</p>			
<p>What expected outputs have been achieved thus far?</p>	<p>Degree of achievement vis a vis expected outcome indicators</p>	<p>PIR 2017</p> <p>Interviews</p>	<p>Document analysis</p> <p>Site Visits</p> <p>Interviews</p>
<p>To what extent have the expected outcomes and objectives of the project been achieved thus far?</p> <p>What have the products, such as studies, policy recommendations, dissemination campaigns, etc., affected [keeping in mind that this is a midterm review and several if not many products are still in the implementation or planning process]</p>			

<p>Was the project effective in acquiring a policy guidance for future developments in the field of livelihoods, Climate Change and sustainable environment management in the project districts?</p> <p>How is the Project addressing fragmentation of environment management policies, and institutional scattering considering this fragmentation?</p> <p>How is the Project contributing to avoiding fragmentation across policies and cross-cutting mandates?</p> <p>What other partners can be involved in the Project in a meaningful way to streamline the issue and bypass or address the institutional and policy fragmentation of the environment and climate change in the project districts?</p>		<p>Project outcomes</p> <p>Norms, policies debated, adopted</p>	<p>Document analysis</p> <p>Stakeholders interviews</p>
<p>How well has the project involved and empowered communities to implement management strategies as they relate to environment and climate change in the project districts?</p> <p>How has the project incorporated gender issues as they relate to environment and climate change in the project districts?</p>	<p>Involvement of (direct and indirect) beneficiaries in project development and implementation</p> <p>Incorporation of gender dimension</p> <p>Analysis of participation by stakeholders (communities, civil society, direct and indirect beneficiaries, etc.).</p>	<p>Project outputs and outcomes</p>	<p>Interviews</p> <p>Site visits</p>

	Effect of project aspects implemented at sites		
What is causing delays in implementation and delivery of outputs of the Project?	Discrepancies between expected outputs/outcome by the time of Interim and actual achievements	Findings in project documents, achievement indicators	Document analysis (minutes of meetings specially) Site visits observation
In what outputs? Where are the implementation 'bottlenecks'? How can these issues be solved? What changes need to be implemented?			Stakeholder interviews
Partnerships for implementation	Working relationship between PMU, UNDP, and other strategic partners as well as donors Board functions	Findings in project documents (PIRs, minutes of meetings) Indications in interviews	Document analysis Stakeholder interviews
In what ways are long-term emerging effects to the project foreseen?	Level of coherence between project expected results and project design internal logic	Government of India, Project team, UNDP	Interviews
Were the relevant representatives from government and civil society involved in project implementation, including as part of the project	Level of coherence between project design and project implementation approach Role of committees in guidance Harness effectiveness by analysing how	Project partners and relevant stakeholders	Document analysis

	<p>project's results were met vis-à-vis intended outcomes or objectives</p> <p>Draw lessons learned/good practices from the implementation and achievement of results</p>		
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Efficiency: Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and could adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?

<p>Was the project implemented efficiently, in line with international and national norms and standards?</p>	<p>Policies adopted / enacted</p> <p>Policies implemented</p> <p>Budgetary / financial means to implement policies drawn</p>	<p>Policy documents contain sustainability factors (policy adopted, implemented)</p> <p>Budget arrangements (allocations, etc.) made to sustain project outputs and outcomes</p>	<p>Documentation analysis</p> <p>Stakeholder interviews</p>
	<p>Was adaptive management used thus far and if so, how did these modifications to the project contribute to obtaining the objectives? Has the project been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</p>	<p>Quality of existing information systems in place to identify emerging risks and other issues</p>	<p>Project documents</p>

	How did institutional arrangements influence the project's achievement of results?	Quality of risk mitigations developed and followed	Government of India, Project team, UNDP
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long term project results?			
Sustainability possibilities Does the Project have an exit strategy? What components should an exit strategy have for this project?	In what way, may the benefits from the project are likely to be maintained or increased in the future?	See indicators in project document results framework and log frame	Project documents and reports
Social sustainability factors	Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?	Evidence that particular partnerships/linkages will be sustained	Government of India, Project team, UNDP
Political/financial sustainability	Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?	Evidence that particular practices will be sustained	Government of India, Project team, UNDP;
Replicability	Which of the project's aspects deserve to be replicated in future initiatives?	Evidence that particular practices will be sustained	Government of India, Project team, UNDP

ANNEX D: UNEG CODE OF CONDUCT FOR EVALUATORS/INTERIM EVALUATION CONSULTANTS

Evaluators/Consultants:

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

IE Consultant Agreement Form

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

Name of Consultant: Mikhail Paltsyn

Name of Consultancy Organization (where relevant): _____

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

Signed _____



Signed at _____ Date September 15 2022 _____

ANNEX E: IE RATING SCALE

Rating scale for performance

Rating	Explanation
Highly Satisfactory (HS)	No shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Satisfactory (S)	Minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Satisfactory (MS)	Moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Unsatisfactory (MU)	Significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Unsatisfactory (U)	Major shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Highly Unsatisfactory (HU)	Severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency

Rating Scale for Sustainability

Rating	Explanation
Likely (L)	Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained
Moderately Unlikely (MU)	Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risk that project outcomes as well as key outputs will not be sustained
Highly Unlikely (HU)	Expectation that few if any outputs or activities will continue after project closure

Progress Towards Results Rating Scale

Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.

Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)	
Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

ANNEX F: IE Report Clearance Form

(to be completed by the Commissioning Unit and UNDP- NCE RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: _____	
Signature: _____	Date: _____
UNDP-NCE Regional Technical Advisor	
Name: _____	
Signature: _____	Date: _____
Principal Technical Advisor (Nature, Climate and Energy)	
Name: _____	
Signature: _____	Date: _____

ANNEX G: Audit Trail Template

Note: The following is a template for the IE Team to show how the received comments on the draft IE report have (or have not) been incorporated into the final IE report. This audit trail should be included as an annex in the final IE report

To the comments received on (date) from the IE of *Enhancing Climate Resilience of India’s Coastal Communities Project*) (UNDP Project ID-(PIMS 5991)

The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution (“Author” column) and not by the person’s name, and track change comment number (“#” column):

Author	#	Para No./ comment location	Comment/Feedback on the draft IE report	IE team response and actions taken

UNDP-GCF project titled ‘Enhancing Climate Resilience of India’s Coastal Communities’

TERMS OF REFERENCE (TOR)

For procuring the services of a National Consultant to conduct the Interim Evaluation

Project Title:	UNDP-GCF project titled ‘Enhancing Climate Resilience of India’s Coastal Communities’
Scope of Advertisement:	National
Type of Contract:	Individual Consultant- Ecosystem Adaptation
Post Type:	National Consultant
Number of positions:	1
Duty Station:	Home-based (with mission travel)
Expected Areas of Travel:	10 Target landscapes in the three states - Andhra Pradesh, Maharashtra and Odisha
Languages:	English
Duration of Contract:	30 working days spread over 11.5 weeks
Start Date	Immediately after concluding Contract Agreement

3.0 INTRODUCTION

This is the Terms of Reference (ToR) for the Interim Evaluation (IE) of the United Nations Development Programme (UNDP) supported Green Climate Fund (GCF) financed project “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084) implemented through the Ministry of Environment, Forest and Climate Change and the nodal departments of the target State governments which is to be undertaken in 2022. The project is implemented in the states of Andhra Pradesh, Odisha and Maharashtra, to enhance the resilience of vulnerable coastal communities to climate change through ecosystem-based adaptation (EbA). The project was started on 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation. This ToR sets out the expectations for this Interim Evaluation (IE).

4.0 PROJECT BACKGROUND AND INFORMATION

The Green Climate Fund (GCF) project- on “Enhancing Climate Resilience of India’s Coastal Communities” supports the Government of India and the state governments in the project states of Andhra Pradesh, Odisha and Maharashtra, to enhance the resilience of vulnerable coastal communities to climate change through ecosystem-based adaptation (EbA). The project combines GCF grant finance with significant leveraged co-finance from central and state governments to shift the paradigm towards a new approach, integrating ecosystem-centred and community-based approaches to adaptation into coastal management and planning by the public sector, the private sector and civil society.

The project supports the Ministry of Environment, Forest and Climate Change and the nodal departments of the target State governments, to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based

approach in three target states. This project as well contributes towards the achievement of climate priorities outlined in India's National Action Plan on Climate Change (2008), the State Action Plans, as well as commitments outlined in India's Nationally Determined Contributions (2015).

The Climate Change, Resilience and Energy portfolio at UNDP is currently working in various thematic areas of climate change adaptation and mitigation; disaster management and resilience; and access to clean and efficient energy. The project works at national, state and community levels to enhance capacities for ecosystem-based approaches to climate change adaptation and enable climate policy and finance shifts to catalyse climate action in all of India's coastal states and union territories.

The project will enhance the resilience of coastal communities throughout India, through the implementation of interventions under the following inter-linked outputs:

- Output 1: Enhanced resilience of coastal and marine ecosystems and their services;
- Output 2: Climate adaptive livelihoods for enhanced resilience of vulnerable coastal communities; and
- Output 3: Strengthened coastal and marine governance and institutional frameworks for climate resilient management of coastal areas.

The above will be achieved through interventions outlined below in target landscapes in the three states - Andhra Pradesh, Maharashtra and Odisha:

- Protect and restore ecosystems such as mangroves, seagrass, coral reefs, salt marshes, coastal dunes, and coastal watersheds
- Help communities adopt climate-adaptive livelihoods and value chains
- Mainstream EbA principles into coastal planning and governance, enabling intersectoral coordination for addressing climate risk across all of India's coastal states.

Being half –way the project life, this IE will assess progress towards and likelihood of achievement of outcomes and impacts and recommend strategies that will enhance delivery of intended project results commensurate with the investments made.

3.0 OBJECTIVES OF THE INTERIM EVALUATION

The IE will assess implementation of the project progress towards the achievement of the project objectives and outcomes as specified in the UNDP Project Document and GCF Funded Activity Agreement (FAA), and assess early signs of project success, or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The IE will also review the project's strategy and its risks to sustainability.

The IE will take into consideration assessment of the project in line with the following evaluation criteria from the [GCF IEU TOR](#) (GCF/B.06/06) and [GCF Evaluation Policy](#), along with [guidance](#) provided by the Organisation for Economic Co-operation and Development

(OECD) Development Assistance Committee (DAC). Additional evaluation criteria can be assessed, as applicable. The IE must assess the following:

- **Implementation and adaptive management** – seek to identify challenges and propose additional measures to support more efficient and effective implementation. The following aspects of project implementation and adaptive management will be assessed: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications.
- **Risks to sustainability** – seeks to assess the likelihood of continued benefits after the project ends. The assessment of sustainability at the IE stage considers the risks that are likely to affect the continuation of project outcomes. The IE should validate the risks identified in the Project Document, Annual Project Reports, and the ATLAS Risk Management Module and whether the risk ratings applied are appropriate and up to date.
- **Relevance, effectiveness and efficiency** - seeks to assess the appropriateness in terms of selection, implementation and achievement of FAA and project document results framework activities and expected results (outputs, outcomes and impacts).
- **Coherence in climate finance delivery with other multilateral entities** - looks at how GCF financing is additional and able to amplify other investments or de-risk and crowd-in further climate investment.
- **Gender equity** - ensures integration of understanding on how the impacts of climate change are differentiated by gender, the ways that behavioural changes and gender can play in delivering paradigm shift, and the role that women play in responding to climate change challenges both as agents but also for accountability and decision-making.
- **Country ownership of projects and programmes** - examines the extent of the emphasis on sustainability post project through country ownership; on ensuring the responsiveness of the GCF investment to country needs and priorities including through the roles that countries play in projects and programmes.
- **Innovativeness in results areas** - focuses on identification of innovations (proof of concept, multiplication effects, new models of finance, technologies, etc.) and the extent to which the project interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways.
- **Replication and scalability** – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCF/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations).
- **Unexpected results, both positive and negative** - identifies the challenges and the learning, both positive and negative, that can be used by all parties (governments, stakeholders, civil society, AE, GCF, and others) to inform further implementation and future investment decision-making.

4.0 INTERIM EVALUATION APPROACH AND METHODOLOGY

The IE team, consisting of an International Consultant (Lead Consultant) and two National Consultants (one is responsible to look at activities related to ecosystem restoration and protection as an adaptation measure to climate change (Output 1) and one for climate-resilient livelihoods and EbA institutionalization (Outputs 2 and 3), must provide evidence-based information that is credible, reliable, and useful. The National consultants to provide the local content while the international consultant will be the Lead Consultant to ensure the deliverables are realized.

The IE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. baseline funding proposal submitted to GCF, FAA, the Project Document, project reports including Annual Performance Reports, Quarterly Progress Reports, UNDP Environmental & Social Safeguard Policy, project budget revisions, records of surveys conducted, national strategic and legal documents, stakeholder maps, and any other materials that the team considers useful for this evidence-based assessment).

The National consultant for Ecosystem Adaptation will support the Lead Consultant to undertake activities such as, reviewing strategies of ecosystem restoration with respect to climate adaptation. They shall closely assess the status and impact of these activities, and their relevance as per the changes over the last 6 years, since it was conceptualized. Based on this, suggest key recommendations, course correction measures, and recommend a sustainability strategy.

The IE is expected to follow a collaborative and participatory approach¹⁴ ensuring close engagement with the Project Team, Implementing Partner, NDA focal point, government counterparts, the UNDP Country Office, Regional Technical Advisers, and other principal stakeholders and beneficiaries.

Engagement of stakeholders is vital to a successful IE. Stakeholder involvement should include (where possible) surveys/questionnaires, focus groups, interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, local government, CSOs, project beneficiaries, etc. If possible (given the COVID restrictions) the IE team is expected to conduct field missions to selected landscape project states of Andhra Pradesh (as required after preliminary evaluation), Odisha and Maharashtra where the IE team should be able to meet the project responsible parties, local stakeholders, including communities, and conduct site verification, to be decided in consultation with the project team. Data collection (government data/records, field observation visits, CDM verifications, public expenditure reporting, GIS data, interviews and focus groups with project partners and stakeholders, etc.) will be used to validate evidence of results and assessments (including but not limited to assessment of Theory of Change, activities delivery, and results/changes occurred).

¹⁴ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

The specific design and methodology for the IE should emerge from consultations between the IE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the IE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The IE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the IE report.

The final methodological approach including interview schedule, field visits and data to be used in the IE must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the IE team.

The final IE report should describe the full IE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the assessment. The final report must also describe any limitations encountered by the IE team during the evaluation process, including limitations of the methodology, data collection methods, and any potential influence of limitation on how findings may be interpreted, and conclusions drawn. Limitations include, among others: language barriers, inaccessible project sites, limitations due to COVID-19 pandemic, issues with access to data or verification of data sources, issues with availability of interviewees, methodological limitations to collecting more extensive or more representative qualitative or quantitative evaluation data, deviations from planned data collection and analysis set out in the ToR and Inception Report, etc. Efforts made to mitigate the limitations should also be included in the IE report.

5.0 DETAILED SCOPE OF THE IE

The IE team will assess the following categories of project progress (adjusted for the Ecosystem Adaptation Consultant). The following questions are intended to guide the IE team to deliver credible and trusted evaluations that provide assessment of progress and results achieved in relationship to the GCF investment, can identify learning and areas where restructuring or changes through adaptive management in project implementation are needed, and can make evidence-based clear and focused recommendations that may be required for enhancing project implementation to deliver expected results and to what extent these can be verified and attributed to GCF investment.

5.1 Project Strategy

5.1.1 Project design:

- vii) Review the problem addressed by the project Output 1 and the underlying assumptions. Review the effect of any incorrect assumptions or changes for the Output 1 to the context to achieving the project results as outlined in the Project Document.
- viii) Review the relevance of the project strategy for the Output 1 and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design in regards to the Output 1?
- ix) Review how the Output 1 of the project addresses country priorities in ecosystem protection, restoration, and adaptation. Review country ownership in regards to the

Output 1. Was the project concept for the Output 1 in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?

- x) Review decision-making processes for the Output 1: were perspectives of those who would be affected by project decisions, those who could affect the outputs and outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- xi) Review the extent to which relevant gender issues were raised in the project design in regards to the Output 1. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- xii) If there are major areas of concern in relation to the Output 1, recommend areas for improvement.

5.1.2 Results Framework/Log frame and Theory of Change:

- vii) Undertake a critical analysis of the project's log frame indicators and targets related to the Output 1, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- viii) Is the project's Output 1 clear, practical, and feasible within its time frame?
- ix) Examine if progress on the Output 1 delivery so far has led to or could in the future catalyse beneficial development effects (i.e. enhanced coastal ecosystem resilience to climate change, decreased vulnerability of local communities as a result of coastal ecosystem restoration and protection, etc.) that should be included in the project results framework and monitored on an annual basis.
- x) Ensure broader development and gender aspects of the project are being monitored effectively in relations to the Output 1. Develop and recommend SMART 'development' indicators for the Output 1, including sex-disaggregated indicators and indicators that capture development benefits.
- xi) Ensure that the Output 1 indicators (gender-disaggregated) are SMART, aligned with GCF/Results Management Framework (RMF)/Performance Measurement Frameworks (PMFs) and the guidance in the [GCF programming manual](#).
- xii) Evaluate the Theory of Change (ToC) for the Output 1 proposed by the project during the inception and design phases in comparison to the approach, relevance, actions, interventions, practicality, and current context. Foresee the way forward and propose necessary adjustments.

5.3 **Relevance, Effectiveness and Efficiency**

- xix) Were the context, problem, needs and priorities for the Output 1 well analyzed and reviewed during project initiation?
- xx) Are the planned project objectives and outcomes in relation to the Output 1 relevant and realistic to the situation on the ground?
- xxi) Does the Output 1 link to intended outcomes which link to broader paradigm shift objectives of the project?

- xxii) Is the Output 1 being delivered in a timely manner? Is this Output delivery supportive of the ToC and pathways identified?
- xxiii) How is the project Theory of Change (ToC) used in helping the project achieve results under the Output 1/ How is the ToC applied through the project for the Output 1?
- xxiv) Is the project Theory of Change (ToC) and intervention logic for the Output 1 coherent and realistic? Does the ToC and intervention logic hold or does it need to be adjusted? Reconstruct the ToC for the Output 1, if appropriate, aligning it with the [GCF ToC format](#).
- xxv) Verify the mitigation impact that the project has achieved through the Output 1. Analyse the GHG emissions achieved (including indirect emissions). Has an appropriate MRV system for GHG emission been established and implemented?
- xxvi) Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the Output 1? Were they sequenced sufficiently to efficiently deliver the Output 1?
- xxvii) Is actual delivery of the Output 1 supportive of the ToC and pathways identified?
- xxviii) What and how much progress has been made towards achieving the Output 1 and relevant outcome of the project (including contributing factors and constraints)?
- xxix) To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints) in relation to the Output 1?
- xxx) How realistic are the risks and assumptions of the project for the Output 1?
- xxxi) How did the project deal with issues and risks in implementation of activities under the Output 1?
- xxxii) To what extent did the project's M&E data and mechanism(s) contribute to achieving of the Output 1 and relevant outcome?
- xxxiii) Are the project's governance mechanisms functioning efficiently for delivery of the Output 1?
- xxxiv) Were there clear baselines indicators and/or benchmark for performance measurements for delivery of the Output 1? How were these used in project management in relations to the Output 1? To what extent and how the project applies adaptive management in delivery of the Output 1?
- xxxv) What, if any, alternative strategies would have been more effective in delivery of the Output 1?

5.3 Progress Towards Results

5.3.1 Progress Towards Results Analysis:

- iii) By assessing the aspects of the Output 1 that have already been successful, identify ways in which the project can further expand these benefits.
- iv) Assess the log frame indicators for the Output 1 against progress made towards the end-of-project targets using the Progress Towards Results Matrix and colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each indicator; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ¹⁵	Baseline Level ¹⁶	Level in 1 st APR (self-reported)	Midterm Target ¹⁷	End-of-project Target	Midterm Level & Assessment ¹⁸	Achievement Rating ¹⁹	Analysis: status of indicator; justification for rating (triangulated with evidence and data); how realistic it is for target to be achieved
Fund Level Impact 1:	Indicator 1:							
	Indicator 2:							
Fund Level Impact 2:	Indicator 1:							
	Indicator 2:							
Outcome	Indicator 1:							
	Indicator 2:							
Output 1:	Indicator 1:							
	Indicator 2:							
Output 2:	Indicator 1:							
	Indicator 2:							
Output 3:	Indicator 1:							

¹⁵ Populate with data from the Log frame and scorecards

¹⁶ Populate with data from the Project Document

¹⁷ If available

¹⁸ Colour code this column only

¹⁹ Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

	Indicator 2:							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards project progress analysis for the Output 1:

- Assess whether the total number of beneficiaries and indirect beneficiaries of the Output has been properly calculated.
- Identify remaining barriers to achieving the Output 1 in the remainder of the project.
- Include a comprehensive assessment of the impact of COVID-19 on the delivery of the Output 1. Assess the impact on the Output delivery along with a plan of action to address these.

5.4 Project Implementation and Adaptive Management

5.4.1 Management Arrangements:

- iv) Review overall effectiveness of project management to deliver Output 1 as outlined in the FAA/Funding proposal. Have changes been made and have these been approved by GCF for the Output 1? Are responsibilities and reporting lines for the Output 1 clear? Is decision-making for the Output 1 transparent and undertaken in a timely manner? Recommend areas for improvement.
- v) Review the quality of execution of the Executing Agency/Implementing Partner(s) and project partners in framework of the Output 1 and recommend areas for improvement.
- vi) Review the quality of support provided by UNDP for delivery of the Output 1 and recommend areas for improvement.

5.4.2 Work Planning:

- v) Review any delays in project start-up and implementation in delivery of the Output 1, identify the causes and examine if they have been resolved.
- vi) Are work-planning processes for the Output 1 results-based? If not, suggest ways to re-orientate work planning to focus on results under the Output?
- vii) Examine the use of the project's results framework/ log frame as a management tool for delivery of the Output 1 and review any changes made to it since project start.
- viii) Assess the feasibility of completing the proposed activities under the Output 1 within the given project timeline (if extension was sought for any project milestone; please consider the revised timelines as well).

5.4.4 Financing and Co-financing

- viii) Consider the financial management of the Output 1, with specific reference to the cost-effectiveness of interventions.
- ix) Review the changes to fund allocations for the Output 1 as a result of budget revisions and assess the appropriateness and relevance of such revisions.

- x) Have Output 1 resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?
- xi) Does the Output 1 delivery have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the Output budget and allow for timely flow of funds?
- xii) Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing for the Output 1: is co-financing being used strategically to help to deliver the Output 1? Comment on the use of different financial streams (parallel, leveraged, mobilized finance), as applicable in the context of the Output 1 – see GCF policy on co-finance²⁰. the Output 1
- xiii) Conduct an analysis of materialized co-financing for the Output 1 and implications for project scope and results. If the Output 1 co-finance is not materialising as planned (timed and/or amount), discuss the impact of that on the Output delivery.
- xiv) Assess factors that contributed to low/high expenditure rate for the Output 1 delivery.

5.4.4 Coherence in climate finance delivery with other multilateral entities

- v) Who are the partners for the Output 1 delivery and how strategic are they in terms of capacities and commitment?
- vi) Is there coherence and complementarity by the Output 1 with other actors for coastal ecosystem protection, restoration, and adaptation?
- vii) To what extent has the Output 1 complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation and mitigation efforts?
- viii) How has the Output 1 contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

5.4.5 Project-level Monitoring and Evaluation Systems:

- v) Review the monitoring tools currently being used for delivery of the Output 1: Do they provide the necessary information? Do they involve key partners? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- vi) Discuss any quality assuring mechanisms being used to assess delivery of the Output 1 (e.g. ISO standard, government accreditations, international certificates, etc.)
- vii) Is project reporting and information generated through the Output 1 delivery linked to national SDGs, NDC and other national reporting systems?
- viii) Examine the financial management of the project monitoring and evaluation budget for the Output 1. Are sufficient resources being allocated to monitoring and evaluation of the Output? Are these resources being allocated effectively?

²⁰ <https://www.greenclimate.fund/sites/default/files/document/policy-cofinancing.pdf>

5.4.6 Stakeholder Engagement:

- v) Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders for delivery of the Output 1?
- vi) Participation and country-driven processes: Do local and national government stakeholders support the Output 1 delivery? Do they continue to have an active role in project decision-making that supports efficient and effective Output 1 delivery?
- vii) Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards full delivery of the Output 1?

5.4.8 Reporting:

- v) Assess how adaptive management changes have been reported in relation to the Output 1 by the project management and shared with the Project Board.
- vi) Assess how well the Project Team and partners undertake and fulfil GCF reporting requirements for the Output 1 (i.e. how have they addressed poorly rated APRs, if applicable?)
- vii) Assess how lessons derived from the Output 1 adaptive management process have been documented, shared with key partners and internalized by partners.
- viii) Assess the efficiency, timeliness, and adequacy of reporting under the Output 1

5.4.8 Communications:

- iv) Review internal project communication with stakeholders in the framework of the Output 1: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of Output 1 activities and investment in the Output sustainability?
- v) Review external project communication in the framework of the Output 1: Are proper means of communication established or being established to express the Output 1 progress and intended impact to the public? Or did the project implement appropriate outreach and public awareness campaigns in the framework of the Output 1?)

5.5 Sustainability

Validate whether the risks identified for the Output 1 in the FAA and Funding proposal, APRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why. In addition, assess the following risks to sustainability

5.5.1 Financial risks to the Output 1 sustainability:

What is the likelihood of financial and economic resources to support the Output 1 not being available once the GCF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

5.5.2 Socio-economic risks to the Output 1 sustainability:

Are there any social or political risks that may jeopardize sustainability of the Output 1? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the Output to be sustained? Do the various key stakeholders see that it is in their interest that the Output 1 is sustained and related Output benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the Output 1 sustainability? Are lessons learned in framework of the Output 1 being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the Output activities and potentially replicate and/or scale them in the future?

5.5.3 Institutional Framework and Governance risks to sustainability:

Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of the Output 1? While assessing this parameter, also consider if the required systems/ mechanisms for the Output 1 sustainability and ownership are in place.

5.5.5 Environmental risks to sustainability of the Output 1:

Are there any environmental risks that may jeopardize sustenance of the Output 1?

5.6 Country Ownership

- vi) To what extent is the Output 1 aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- vii) How well is country ownership of the Output 1 reflected in the project governance, coordination and consultation mechanisms or other consultations?
- viii) To what extent are country level systems for the Output 1 management and M&E utilized in the project?
- ix) Is the Output 1, as delivered, responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?
- x) Was the mode of of the Output 1 delivery of appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of restored and protected coastal ecosystems?

5.7 Gender equity

- x) Are financial resources/project activities for the Output 1 explicitly allocated to enable women to benefit from the Output activities?
- xi) Does the Output 1 account in activities and planning for local gender dynamics and how the Output activities affect women as beneficiaries?
- xii) How do the benefits of the Output 1 for women compare to those for men?
- xiii) Is the decision-making process for delivery of the Output 1 transparent and inclusive of both women and men?
- xiv) To what extent are the Output 1 female stakeholders or beneficiaries satisfied with the gender equality results?

5.8 Innovativeness in results areas

What are the lessons learned to enrich learning and knowledge generation in terms of how the Output 1 played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the project and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

5.9 Unexpected results, both positive and negative

- v) What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape in regards to the Output 1? Please account for factors both within the AE/EE and external.
- vi) Can any unintended or unexpected positive or negative effects be observed as a consequence of the Output 1 activities?
- vii) What factors have contributed to the unintended results in the Output 1 delivery?
- viii) Do any of the unintended results in the Output 1 delivery constitute a major change?²¹

5.10 Replication and Scalability

- vi) What are the Output 1 lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- vii) Assess the effectiveness of exit strategies and approaches to phase out assistance provided by the project in framework of the Output 1 including contributing factors and constraints? Is there a need for recalibration?
- viii) What factors of the Output 1 delivery are contingent on specific local context or enabling environment factors?
- ix) Are the actions and results from the Output 1 interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- x) What are the key factors that will require attention in order to improve prospects of the Output 1 sustainability, scalability or replication?

5.11 Conclusions, Recommendations and Lessons Learned

The Ecosystem Adaptation Consultant will develop a section of the report setting out the evaluation's evidence-based conclusions, in light of the findings for the Output 1. Explain whether the project will be able to achieve planned development results under the Output 1 by the end of implementation.

Recommendations for delivery of the Output 1 should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary.

²¹ See Section '9.4 Major Changes and Restructuring' in the [GCF Programming Manual](#)

The Ecosystem Adaptation Consultant report will also include a separate section with a concise and logically articulated set of Output 1 lessons learned (new knowledge gained from the project, context, outcomes, even evaluation methods; failures/lost opportunities to date, what might have been done better or differently, etc.). Lessons should be based on specific evidence presented in the report and can be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.

8.0 TIMEFRAME (DURATION OF WORK)

The total duration of the Ecosystem Adaptation Consultant's contract will be approximately 30 working days over a period of 11.5 weeks. A National Consultant will complement the Lead/International Consultant for a period of 30 working days over the same period. The tentative IE timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	TIME PERIOD
IV. Desk Review and Inception Report		
Supporting the International consultant in document review and preparation of IE Inception Report	5 days	15 th June-20 th June 2022
Provide support in consolidating comments, discussion (if needed)	...	20 th -22 nd June 2022
V. Field (Virtual is possible, depending on COVID situation in the country) Mission and Data Collection		
IE field mission: stakeholder meetings, interviews, project site visits in regards to the Output 1	14 days	23 rd June- 7 th July 2022
Supporting the International consultant in presentation of initial findings	3 day	8 th -10 th July 2022
VI. Report Writing		
Draft the Consultant's report on the Output 1 and submit it to the Lead Consultant	8 days	11 th -18 th July 2022
Review of draft IE report #1 developed by the Lead Consultant and provide comments	5 days	25-30 July 2022
Circulation of draft IE report #1 for comments by Commissioning Unit	...	1st August 2022
Supporting the International consultant in incorporation of comments on draft	3 days	5 th -8 th August 2022

IE report #1 + Submission of draft IE report #2		
Circulation of draft IE report #2 for comments	...	9 th August 2022
Supporting the IC in consolidation of comments by Commissioning Unit	...	18 th -22 nd August 2022
Supporting the International consultant in; Incorporation of comments on draft IE report #2 by IC + Submission of final IE report + completed Audit Trail by IC (Report length should not exceed 50 pages, excluding annexes)	3 days	23 rd -25 th August 2022
Supporting the IC in conducting a Concluding Stakeholder Workshop (optional)	...	TBD WE have some time reserve (September) until October 1 here

9.0 IE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	IE Inception Report	Supporting the IC in preparing evaluation methodology, work plan and structure of the IE report, and options for site visits	by 20 June 2022	Supporting the International consultant in research, Collation of information, and compiling of the report
2	Presentation	Supporting the IC in consolidating the Initial Findings	by 10 July 2022	Supporting the IC in presenting the initial findings to Project Management and Commissioning Unit
3	Draft IE Report #1	Supporting in the preparation of the full report (using guidelines on content outlined in Annex B) with annexes	1 August 2022	Supporting the IC in preparation and sharing of the 1 st draft to Commissioning Unit, reviewed by RTA, Project

				Coordinating Unit, NDA focal point
4	Draft IE Report #2	Supporting in the preparation full report (using guidelines on content outlined in Annex B) with annexes	9 August 2022	Supporting the IC in preparation and sharing of the 2 nd draft to Commissioning Unit, reviewed by RTA, Project Coordinating Unit, NDA focal point
4	Final IE Report*	Supporting the IC in preparation of a revised report with audit trail detailing how all received comments have (and have not) been addressed in the final report	25 August 2022	Supporting the IC in preparation and sharing of the final report to Commissioning Unit
5	Concluding Stakeholder Workshop (optional)	Supporting the IC or the project team in conducting the concluding stakeholder workshop to present and discuss key findings and recommendations of the evaluation report, and key actions in response to the report.	Within 1-2 weeks of completion of final IE report	Support the IC or Project Team and Commissioning Unit

*The final IE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8.0 IE ARRANGEMENTS

The principal responsibility for managing this IE resides with the Monitoring & Evaluation Focal Point of the Commissioning Unit. The Commissioning Unit for this project's IE is the UNDP Country Office (CO) in India, during this assignment, the IE team will report to the Monitoring and Evaluation Focal Point in Commissioning Unit who will provide guidance and ensure satisfactory completion of deliverables.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the IE team. The Project Team will be responsible for liaising with the IE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

10.0 TEAM COMPOSITION

A team of three independent consultants will conduct the IE - one lead consultant (International with experience and exposure to projects and evaluations in other regions globally) and two National team experts (one is responsible to look at activities associated with ecosystem and community-based adaptation to climate change and one for climate resilient livelihoods and institutionalisation related components), from the country of the project with expertise in the relevant area.

The National Consultants will be expected to conduct field missions in the project landscapes. The IE lead consultant (International Consultant) will be designated team leader and shall be responsible for the overall design and writing of the IE report and as well as the overall quality of the final report submitted to UNDP with field mission if possible. However, the National Consultants shall support the Lead in drafting the report including all the data gathered from the field mission and interviews (provides the report on the Output 1). The two national evaluators and a lead IE consultant will be recruited separately; however, all three consultants shall form a team carrying out this IE, under the overall guidance of the lead consultant and overall management of the Commissioning Unit.

The selection of the National consultant- Adaptation will be aimed at maximizing the overall “team” qualities in the following areas: The weight to all preferred qualifications apart from the minimum academic qualifications and experience are shown in the Technical Evaluation Criteria below.

Qualifications for the National Consultant- Ecosystem Adaptation

- A Master’s degree in natural sciences; with a specialization in environment, biodiversity, climate change, or other closely related field.
- At least 5 years of practical experience in coastal ecosystem protection and restoration (government or NGO projects);
- Fluency in written and spoken English.
- Highly knowledgeable of participatory monitoring and evaluation processes.
- Familiarity with India’s development, environment, climate change and other relevant policy frameworks.
- Competence in adaptive management, as applied to Natural Resource Management and Climate Change.
- Demonstrated understanding of issues related to gender and Natural Resource Management and Climate Change, experience in gender sensitive evaluation and analysis.
- Excellent communication skills.
- Demonstrable analytical skills.
- Project implementation/evaluation/review experiences within United Nations system will be considered an asset.

10.0 EVALUATOR ETHICS

The evaluation team will be held to the highest ethical standards and is required to sign a code of conduct (see ToR Annex D) upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG [Ethical Guidelines for Evaluation](#). The evaluation team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluation team must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

11.0 PAYMENT MODALITIES AND SPECIFICATIONS

Instalment of Payment/ Period	Deliverables or Documents to be Delivered	Approval should be obtained	Percentage of Payment
1 st Instalment	Satisfactory delivery of the final IE Inception Report	UNDP CO	20%
2 nd Instalment	Satisfactory delivery of the draft IE report #1	UNDP CO	50%
3 rd Instalment	Satisfactory delivery of the Final IE report + completed Audit Trail	UNDP CO and UNDP Nature, Climate and Energy Regional Technical Advisor (RTA), and Principal Technical Advisor (PTA)	30%

Criteria for issuing the final payment of 30%²²:

- v) The final IE report includes all requirements outlined in the IE TOR and is in accordance with the IE guidance.

²² The Commissioning Unit is obligated to issue payments to the IE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the IE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://poppp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

- vi) The final IE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other IE reports).
- vii) The Audit Trail includes responses to and justification for each comment listed.
- viii) RTA approvals are via signatures on the TE Report Clearance Form)

12.0 APPLICATION PROCESS

Applicants are requested to apply online at <http://jobs.undp.org> by **18 June 2022**. Individual consultants are invited to submit technical and financial proposals as applications together with their CV for these positions. UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

12.1 Documents to be included when submitting the Proposals.

Interested individual consultants must submit the following documents/information to demonstrate their qualifications **in one single PDF document**:

- 2) Duly accomplished **Letter of Confirmation of Interest and Availability** using the [template](#)²³ provided by UNDP
- 3) **CV** and a **Personal History Form (P11 form**²⁴); indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references.
- 4) **Technical proposal**:
 - a. Brief description of why the individual considers him/herself as the most suitable for the assignment
 - b. A methodology, on how they will approach and complete the assignment.

All application materials should be submitted to the address (UNDP India, 55, Lodhi Estate, New Delhi – 110003, India) in a sealed envelope indicating the following reference Consultant for “Enhancing Climate Resilience of India’s Coastal Communities” support Project, Interim Evaluation” or by email at the following address(s) ONLY: @undp.org and copy @undp.org by 18th June 2022, 5.00pm. Incomplete applications will be excluded from further consideration.

13.0 CRITERIA FOR EVALUATION OF PROPOSAL:

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

13.1 Selection Criteria

²³

<https://intranet.undp.org/unit/bom/psa/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

²⁴ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

Qualified Individual Consultant is expected to submit both the Technical and Financial Proposals. Individual Consultants will be evaluated based on Cumulative Analysis as per the following scenario:

- iii) Responsive/compliant/acceptable, and
- iv) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation. In this regard, the respective weight of the proposals is:
 - Technical Criteria weight is 70%
 - Financial Criteria weight is 30%

Evaluation Criteria	Weight	Max. Point
Technical Competence (based on CV, Proposal and interview (if required))	70%	100
Understanding the Scope of Work; comprehensiveness of the methodology/approach; and organization & completeness of the proposal		30
Minimum educational background		15
Minimum years of experience		30
Additional competences (agriculture and Environment /M&E)		25
Financial (Lower Offer/Offer X100)	30%	30
Total Score	Technical Score * 70% + Financial Score *30%	

** It is a mandatory criterion and shall have a minimum of 70%*

13.2 Recommended presentation of technical and financial proposals

For purposes of generating proposals whose contents are uniformly presented and to facilitate their comparative review, you are hereby given a template of the Table of Content. Accordingly, your Technical Proposal document must have at least the preferred content as outlined in the IC Standard Bid Document (SBD). The financial proposals should be ALL inclusive.

14.0 QUALIFICATIONS

14.1 Academic Qualifications:

Advanced University Degree (Masters or equivalent) in natural sciences; with a specialization in environment, biodiversity, climate change or any other closely related field

14.2 Experience:

- vi) Minimum 5 years of relevant professional experience in natural resource management and climate change.
- vii) Recent experience application of results-based approaches to evaluation of projects focusing on Conservation Science, Natural Resource Management and Climate Change.
- viii) Highly knowledgeable of participatory monitoring and evaluation processes.
- ix) Familiarity with India's development, environment, climate change and other relevant policy frameworks.
- x) Experience of conducting Project evaluations within the United Nations system will be considered an asset.

14.3 Competencies:

- ix) Recent experience with result-based management evaluation methodologies:
- x) Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- xi) Competence in adaptive management, as applied to GCF Climate Change focal areas,
- xii) Experience working with project evaluations;
- xiii) Experience working in India;
- xiv) Demonstrated understanding of issues related to gender and Climate change, environment conservation, biodiversity, ecosystem management in gender sensitive evaluation and analysis.
- xv) Excellent communication skills
- xvi) Demonstrable analytical skills

14.4 Language and other skills:

Proficiency in both spoken and written English

14.5 Compliance of the UN Core Values:

- vi) Demonstrates integrity by modelling the UN's values and ethical standards,
- vii) Promotes the vision, mission, and strategic goals of UNDP,
- viii) Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability,
- ix) Treats all people fairly without favoritism,
- x) Fulfils all obligations to gender sensitivity and zero tolerance for sexual harassment.

15.0 CONFIDENTIALITY

The Individual Consultant shall not either during the term or after termination of the assignment, disclose any proprietary or confidential information related to the consultancy service without prior written consent. Proprietary interests on all materials and documents prepared by the consultants under the assignment shall become and remain properties of UNDP.

ANNEX A. LIST OF DOCUMENTS TO BE REVIEWED

16. Funding Proposal
17. Funded Activity Agreement (FAA)
18. UNDP Project Document
19. UNDP Environmental and Social Screening results
20. Project Inception Report
21. All Annual Performance Reports (APRs)
22. Progress reports and work plans of the various implementation task teams
23. Audit reports
24. Mission reports
25. All monitoring reports prepared by the project
26. Financial and Administration guidelines used by Project Team

The following documents will also be available:

27. Project operational guidelines, manuals and systems

28. UNDP country/countries programme document(s)
29. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
30. Project site location maps

ANNEX B: Guidelines on Contents for the Midterm Review Report²⁵

Basic Report Information (*for opening page or title page*)

- Title of UNDP-supported GCF-financed project
- UNDP PIMS# and GCF project ID#
- IE time frame and date of report
- Region and countries included in the project
- Executing Agency/Implementing Partner and other project partners
- IE team members

Acknowledgements

Table of Contents

Acronyms and Abbreviations

Project Information Table

Executive Summary (*2-3 pages*)

- Project Description (brief)
- Project Progress Summary
- IE Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendations Summary Table

Introduction (*2-3 pages*)

- Purpose of the IE and objectives
- Scope & Methodology: principles of design and execution of the IE, IE approach and data collection methods, limitations
- Structure of the IE report

Project Description and Background Context (*3-5 pages*)

- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

Findings (*12-14 pages*)

²⁵ The Report length should not exceed 40 pages in total (not including annexes).

- 4.1 Project Strategy
 - Project Design
 - Results Framework/Log frame
- 4.2 Relevance
- 4.3 Effectiveness and Efficiency
- 4.4 Progress Towards Results
 - Progress towards outcomes analysis
 - Remaining barriers to achieving the project objective
 - Comprehensive assessment of impact of COVID-19 on project implementation
- 4.5 Project Implementation and Adaptive Management
 - Management Arrangements
 - Work planning
 - Financing and Co-financing
 - Coherence in climate finance delivery with other multilateral entities
 - Project-level monitoring and evaluation systems
 - Stakeholder engagement
 - Social and Environmental Standards (Safeguards)
 - Reporting
 - Communications
- 4.6 Sustainability
 - Financial risks to sustainability
 - Socio-economic to sustainability
 - Institutional framework and governance risks to sustainability
 - Environmental risks to sustainability
- 4.7 Country Ownership
- 4.8 Innovativeness in results areas
- 4.9 Unexpected results, both positive and negative
- 4.10 Replication and Scalability
- 4.11 Gender Equity

Conclusions, Recommendations and Lessons Learned (*4-6 pages*)

Conclusions

- 5.1
 - Comprehensive and balanced statements (that are evidence-based and connected to the IE's findings) which highlight the strengths, weaknesses and results of the project
- 5.2 Lessons Learned
 - Concise and logically articulated set of lessons learned based on specific evidence presented in the report, to be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.
- 5.2 Recommendations
 - Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project

- Proposals for future directions underlining main objectives

Annexes

- IE ToR (excluding ToR annexes)
- IE evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Questionnaire or Interview Guide used for data collection
- Mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed IE final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft IE report

ANNEX C: IE EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)

Evaluative Questions	Indicators	Sources	Methodology
Relevance: Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Do the project activities address the gaps in the policy, regulatory and capacity framework at the national level? To what extent is the project suited to local and national development priorities and policies?	Degree to which the project supports national environmental objectives. Addressing gaps and/or inconsistency with the national and local policies and priorities Addressing gaps in capacity framework.	National policies, Project Document	Document analysis

How relevant the project's intended outcomes? How relevant is the involvement of different partners in the Project implementation given the institutional and policy framework for environment and food security sectors in India?	Degree to which the project supports national environmental and development objectives	Project documents and evaluations	Document analysis
Were the project's objectives and components relevant, according to the social and political context?	Degree of coherence between the project and national priorities, policies and strategies	Government of India, UNDP, Project Management	Interviews
Are counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry? Are the stated assumptions and risks logical and robust? And did they help to determine activities and planned outputs? Is the project coherent with UNDP programming strategy for India? To what extent is the project in line with GCF operational programs	Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities Coherence UNDP and GCF operational programming	Project partners and relevant stakeholders UNDAF, UNDP/GCF Programming statements	Interviews Document analysis
Effectiveness: Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
What expected outputs have been achieved thus far?	Degree of achievement vis a vis expected outcome indicators	PIR 2017 Interviews	Document analysis Site Visits Interviews

<p>To what extent have the expected outcomes and objectives of the project been achieved thus far?</p> <p>What have the products, such as studies, policy recommendations, dissemination campaigns, etc., affected [keeping in mind that this is a midterm review and several if not many products are still in the implementation or planning process]</p>			
<p>Was the project effective in acquiring a policy guidance for future developments in the field of livelihoods, Climate Change and sustainable environment management in the project districts?</p> <p>How is the Project addressing fragmentation of environment management policies, and institutional scattering considering this fragmentation?</p> <p>How is the Project contributing to avoiding fragmentation across policies and cross-cutting mandates?</p> <p>What other partners can be involved in the Project in a meaningful way to streamline the issue and bypass or address the institutional and policy fragmentation of the environment and climate change in the project districts?</p>		<p>Project outcomes</p> <p>Norms, policies debated, adopted</p>	<p>Document analysis</p> <p>Stakeholders interviews</p>

<p>How well has the project involved and empowered communities to implement management strategies as they relate to environment and climate change in the project districts?</p> <p>How has the project incorporated gender issues as they relate to environment and climate change in the project districts?</p>	<p>Involvement of (direct and indirect) beneficiaries in project development and implementation</p> <p>Incorporation of gender dimension</p> <p>Analysis of participation by stakeholders (communities, civil society, direct and indirect beneficiaries, etc.).</p> <p>Effect of project aspects implemented at sites</p>	<p>Project outputs and outcomes</p>	<p>Interviews</p> <p>Site visits</p>
<p>What is causing delays in implementation and delivery of outputs of the Project?</p>	<p>Discrepancies between expected outputs/outcome by the time of Interim and actual achievements</p>	<p>Findings in project documents, achievement indicators</p>	<p>Document analysis (minutes of meetings specially)</p> <p>Site visits observation</p>
<p>In what outputs? Where are the implementation 'bottlenecks'?</p> <p>How can these issues be solved?</p> <p>What changes need to be implemented?</p>			<p>Stakeholder interviews</p>
<p>Partnerships for implementation</p>	<p>Working relationship between PMU, UNDP, and other strategic partners as well as donors</p> <p>Board functions</p>	<p>Findings in project documents (PIRs, minutes of meetings)</p> <p>Indications in interviews</p>	<p>Document analysis</p> <p>Stakeholder interviews</p>
<p>In what ways are long-term emerging effects to the project foreseen?</p>	<p>Level of coherence between project expected results and</p>	<p>Government of India, Project team, UNDP</p>	<p>Interviews</p>

	project design internal logic		
Were the relevant representatives from government and civil society involved in project implementation, including as part of the project	<p>Level of coherence between project design and project implementation approach</p> <p>Role of committees in guidance</p> <p>Harness effectiveness by analysing how project's results were met vis-à-vis intended outcomes or objectives</p> <p>Draw lessons learned/good practices from the implementation and achievement of results</p>	Project partners and relevant stakeholders	Document analysis

Efficiency: Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and could adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?

Was the project implemented efficiently, in line with international and national norms and standards?	<p>Policies adopted / enacted</p> <p>Policies implemented</p> <p>Budgetary / financial means to implement policies drawn</p>	<p>Policy documents contain sustainability factors (policy adopted, implemented)</p> <p>Budget arrangements (allocations, etc.) made to sustain project outputs and outcomes</p>	<p>Documentation analysis</p> <p>Stakeholder interviews</p>
	Was adaptive management used thus far and if so, how did these modifications to the project contribute to obtaining the objectives? Has the	Quality of existing information systems in place to identify emerging risks and other issues	Project documents

	project been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?		
	How did institutional arrangements influence the project's achievement of results?	Quality of risk mitigations developed and followed	Government of India, Project team, UNDP
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long term project results?			
Sustainability possibilities Does the Project have an exit strategy? What components should an exit strategy have for this project?	In what way, may the benefits from the project are likely to be maintained or increased in the future?	See indicators in project document results framework and log frame	Project documents and reports
Social sustainability factors	Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?	Evidence that particular partnerships/linkages will be sustained	Government of India, Project team, UNDP
Political/financial sustainability	Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?	Evidence that particular practices will be sustained	Government of India, Project team, UNDP;
Replicability	Which of the project's aspects deserve to be	Evidence that particular practices will be	Government of India, Project team, UNDP

	replicated in future initiatives?	sustained	
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ANNEX D: UNEG CODE OF CONDUCT FOR EVALUATORS/INTERIM EVALUATION CONSULTANTS

Evaluators/Consultants:

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

IE Consultant Agreement Form

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

Name of Consultant: _Selvam Vaithilingam_____

Name of Consultancy Organization (where relevant): _____

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



Signed _____

Signed at Chidambaram Date 15th September 2022

ANNEX E: IE RATING SCALE

Rating scale for performance

Rating	Explanation
Highly Satisfactory (HS)	No shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Satisfactory (S)	Minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Satisfactory (MS)	Moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Unsatisfactory (MU)	Significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Unsatisfactory (U)	Major shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Highly Unsatisfactory (HU)	Severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency

Rating Scale for Sustainability

Rating	Explanation
Likely (L)	Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained
Moderately Unlikely (MU)	Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risk that project outcomes as well as key outputs will not be sustained
Highly Unlikely (HU)	Expectation that few if any outputs or activities will continue after project closure

Progress Towards Results Rating Scale

Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.

Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.
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Ratings for Project Implementation & Adaptive Management: (one overall rating)	
Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

ANNEX F: IE Report Clearance Form

(to be completed by the Commissioning Unit and UNDP- NCE RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: _____	
Signature: _____	Date: _____
UNDP-NCE Regional Technical Advisor	
Name: _____	
Signature: _____	Date: _____
Principal Technical Advisor (Nature, Climate and Energy)	
Name: _____	
Signature: _____	Date: _____

ANNEX G: Audit Trail Template

Note: The following is a template for the IE Team to show how the received comments on the draft IE report have (or have not) been incorporated into the final IE report. This audit trail should be included as an annex in the final IE report

To the comments received on (date) from the IE of *Enhancing Climate Resilience of India’s Coastal Communities Project*) (UNDP Project ID-(PIMS 5991)

The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution (“Author” column) and not by the person’s name, and track change comment number (“#” column):

Author	#	Para No./ comment location	Comment/Feedback on the draft IE report	IE team response and actions taken

TERMS OF REFERENCE	
Office/Unit/Project	UNDP India
Post Level	Climate-resilient livelihoods and EbA institutionalization Consultant
Duty station (City and Country)	Home based with occasional travel to project sites
Contract Duration	10.5 weeks

This is the Terms of Reference (ToR) for the Interim Evaluation (IE) of the United Nations Development Programme (UNDP) supported Green Climate Fund (GCF) financed project “Enhancing Climate Resilience of India’s Coastal Communities” (PIMS 5991 /GCF FP084) implemented through the Ministry of Environment, Forest and Climate Change and the nodal departments of the target State governments which is to be undertaken in 2022. The project is implemented in the states of Andhra Pradesh, Odisha and Maharashtra, to enhance the resilience of vulnerable coastal communities to climate change through ecosystem-based adaptation (EbA). The project was started on 28th June 2019, though full implementation commenced in September 2019 and is currently in its third year of implementation. This ToR sets out the expectations for this Interim Evaluation (IE).

Background

The Green Climate Fund (GCF) project- on “Enhancing Climate Resilience of India’s Coastal Communities” supports the Government of India and the state governments in the project states of Andhra Pradesh, Odisha and Maharashtra, to enhance the resilience of vulnerable coastal communities to climate change through ecosystem-based adaptation (EbA). The project combines GCF grant finance with significant leveraged co-finance from central and state governments to shift the paradigm towards a new approach, integrating ecosystem-centred and community-based approaches to adaptation into coastal management and planning by the public sector, the private sector and civil society.

The project supports the Ministry of Environment, Forest and Climate Change and the nodal departments of the target State governments, to enhance the resilience of the lives and livelihoods of the most vulnerable populations, particularly women, in the coastal areas of India to climate change and extreme events, using an ecosystem-centered and community-based approach in three target states. This project as well contributes towards the achievement of climate priorities outlined in India’s National Action Plan on Climate Change (2008), the State Action Plans, as well as commitments outlined in India’s Nationally Determined Contributions (2015).

The Climate Change, Resilience and Energy portfolio at UNDP is currently working in various thematic areas of climate change adaptation and mitigation; disaster management and resilience; and access to clean and efficient energy. The project works at national, state and community levels to enhance capacities for ecosystem-based approaches to climate change adaptation and enable climate policy and finance shifts to catalyse climate action in all of India’s coastal states and union territories.

The project will enhance the resilience of coastal communities throughout India, through the implementation of interventions under the following inter-linked outputs:

- Output 1: Enhanced resilience of coastal and marine ecosystems and their services;
- Output 2: Climate adaptive livelihoods for enhanced resilience of vulnerable coastal communities; and
- Output 3: Strengthened coastal and marine governance and institutional frameworks for climate resilient management of coastal areas.

The above will be achieved through interventions outlined below in target landscapes in the three states - Andhra Pradesh, Maharashtra and Odisha:

- Protect and restore ecosystems such as mangroves, seagrass, coral reefs, salt marshes, coastal dunes, and coastal watersheds
- Help communities adopt climate-adaptive livelihoods and value chains
- Mainstream EbA principles into coastal planning and governance, enabling intersectoral coordination for addressing climate risk across all of India's coastal states.

Being half-way the project life, this IE will assess progress towards and likelihood of achievement of outcomes and impacts and recommend strategies that will enhance delivery of intended project results commensurate with the investments made.

OBJECTIVES OF THE INTERIM EVALUATION

The IE will assess implementation of the project progress towards the achievement of the project objectives and outcomes as specified in the UNDP Project Document and GCF Funded Activity Agreement (FAA), and assess early signs of project success, or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The IE will also review the project's strategy and its risks to sustainability.

The IE will take into consideration assessment of the project in line with the following evaluation criteria from the [GCF IEU TOR](#) (GCF/B.06/06) and [GCF Evaluation Policy](#), along with [guidance](#) provided by the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC). Additional evaluation criteria can be assessed, as applicable. The IE must assess the following:

- **Implementation and adaptive management** – seek to identify challenges and propose additional measures to support more efficient and effective implementation. The following aspects of project implementation and adaptive management will be assessed: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications.
- **Risks to sustainability** – seeks to assess the likelihood of continued benefits after the project ends. The assessment of sustainability at the IE stage considers the risks that are likely to affect the continuation of project outcomes. The IE should validate the risks identified in the Project Document, Annual Project Reports, and the ATLAS Risk Management Module and whether the risk ratings applied are appropriate and up to date.
- **Relevance, effectiveness and efficiency** - seeks to assess the appropriateness in terms of selection, implementation and achievement of FAA and project document results framework activities and expected results (outputs, outcomes and impacts).
- **Coherence in climate finance delivery with other multilateral entities** - looks at how GCF financing is additional and able to amplify other investments or de-risk and crowd-in further climate investment.
- **Gender equity** - ensures integration of understanding on how the impacts of climate change are differentiated by gender, the ways that behavioural changes and gender can play in delivering paradigm shift, and the role that women play in responding to climate change challenges both as agents but also for accountability and decision-making.

- **Country ownership of projects and programmes** - examines the extent of the emphasis on sustainability post project through country ownership; on ensuring the responsiveness of the GCF investment to country needs and priorities including through the roles that countries play in projects and programmes.
- **Innovativeness in results areas** - focuses on identification of innovations (proof of concept, multiplication effects, new models of finance, technologies, etc.) and the extent to which the project interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways.
- **Replication and scalability** – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCF/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations).
- **Unexpected results, both positive and negative** - identifies the challenges and the learning, both positive and negative, that can be used by all parties (governments, stakeholders, civil society, AE, GCF, and others) to inform further implementation and future investment decision-making.

INTERIM EVALUATION APPROACH AND METHODOLOGY

The IE team, consisting of an International Consultant (Lead Consultant) and two National Consultants (one is responsible to look at activities related to ecosystem restoration and protection as an adaptation measure to climate change (Output 1) and one for climate-resilient livelihoods and EbA institutionalization (Outputs 2 and 3), must provide evidence-based information that is credible, reliable, and useful. The National consultants to provide the local content while the international consultant will be the Lead Consultant to ensure the deliverables are realized.

The IE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. baseline funding proposal submitted to GCF, FAA, the Project Document, project reports including Annual Performance Reports, Quarterly Progress Reports, UNDP Environmental & Social Safeguard Policy, project budget revisions, records of surveys conducted, national strategic and legal documents, stakeholder maps, and any other materials that the team considers useful for this evidence-based assessment).

The National consultant for Climate-resilient livelihoods and EbA institutionalization will support the Lead Consultant to undertake activities such as, reviewing strategies, and closely assess and evaluate the current climate-resilient livelihoods mentioned in the project, their impact, and relevance as per the changes in the economy of the coastal state of India over the last 6 years, since it was conceptualized. These include changes in the labor market dynamics, youth unemployment and mobility, and the digital technology. The consultant shall also evaluate the status of activities associated with governance and institutional strengthening in the local context. Based on this, suggest key recommendations, course correction measures, and recommend a sustainability strategy.

The IE is expected to follow a collaborative and participatory approach²⁶ ensuring close engagement with the Project Team, Implementing Partner, NDA focal point, government counterparts, the UNDP Country Office, Regional Technical Advisers, and other principal stakeholders and beneficiaries.

Engagement of stakeholders is vital to a successful IE. Stakeholder involvement should include (where possible) surveys/questionnaires, focus groups, interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, local government, CSOs, project beneficiaries, etc. If possible (given the COVID restrictions) the IE team is expected to conduct field missions to selected landscape project states of Andhra Pradesh (as required after preliminary evaluation), Odisha and Maharashtra where the IE team should be able to meet the project responsible parties, local stakeholders, including communities, and conduct site verification, to be decided in consultation with the project team. Data collection (government data/records, field observation visits, CDM verifications, public expenditure reporting, GIS data, interviews and focus groups with project partners and stakeholders, etc.) will be used to validate evidence of results and assessments (including but not limited to: assessment of Theory of Change, activities delivery, and results/changes occurred).

The specific design and methodology for the IE should emerge from consultations between the IE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the IE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The IE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the IE report.

The final methodological approach including interview schedule, field visits and data to be used in the IE must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the IE team.

The final IE report should describe the full IE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the assessment. The final report must also describe any limitations encountered by the IE team during the evaluation process, including limitations of the methodology, data collection methods, and any potential influence of limitation on how findings may be interpreted, and conclusions drawn. Limitations include, among others: language barriers, inaccessible project sites, limitations due to COVID-19 pandemic, issues with access to data or verification of data sources, issues with availability of interviewees, methodological limitations to collecting more extensive or more representative qualitative or quantitative evaluation data, deviations from planned data collection and analysis set out in the ToR and Inception Report, etc. Efforts made to mitigate the limitations should also be included in the IE report.

DETAILED SCOPE OF THE IE

The IE team will assess the following categories of project progress (adjusted for the Climate-resilient livelihoods and EbA institutionalization Consultant). The following questions are intended to guide the IE team to deliver credible and trusted evaluations that provide assessment of progress and results achieved in relationship to the GCF investment, can identify learning and areas where restructuring or changes through adaptive management in project implementation are needed, and can make evidence-based clear and focused recommendations that may be required for enhancing project implementation to deliver expected results and to what extent these can be verified and attributed to GCF investment.

²⁶ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

Project Strategy

Project design:

- xiii) Review the problem addressed by the project Outputs 2 and 3 and the underlying assumptions. Review the effect of any incorrect assumptions or changes for the Outputs 2 and 3 to the context to achieving the project results as outlined in the Project Document.
- xiv) Review the relevance of the project strategy for the Outputs 2 and 3 and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design in regard to the Outputs 2 and 3?
- xv) Review how the Outputs 2 and 3 of the project addresses country priorities in community-based adaptation and climate adaptation policy, planning documents, and legislation. Review country ownership in regard to the Outputs 2 and 3. Was the project concept for the Outputs 2 and 3 in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- xvi) Review decision-making processes for the Outputs 2 and 3: were perspectives of those who would be affected by project decisions, those who could affect the outputs and outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- xvii) Review the extent to which relevant gender issues were raised in the project design in regards to the Outputs 2 and 3. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- xviii) If there are major areas of concern in relation to the Outputs 2 and 3, recommend areas for improvement.

Results Framework/Log frame and Theory of Change:

- xiii) Undertake a critical analysis of the project's log frame indicators and targets related to the Outputs 2 and 3, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- xiv) Is the project's Outputs 2 and 3 clear, practical, and feasible within their time frames?
- xv) Examine if progress on the Outputs 2 and 3 so far has led to or could in the future catalyse beneficial development effects (i.e. decreased vulnerability of local communities to climate change, improved EbA focus and guidance in the government policies and planning documents.) that should be included in the project results framework and monitored on an annual basis.
- xvi) Ensure broader development and gender aspects of the project are being monitored effectively in relations to the Outputs 2 and 3. Develop and recommend SMART 'development' indicators for the Outputs 2 and 3, including sex-disaggregated indicators and indicators that capture development benefits.
- xvii) Ensure that the Outputs 2 and 3 indicators (gender-disaggregated) are SMART, aligned with GCF/Results Management Framework (RMF)/Performance Measurement Frameworks (PMFs) and the guidance in the [GCF programming manual](#).

- xviii) Evaluate the Theory of Change (ToC) for the Outputs 2 and 3 proposed by the project during the inception and design phases in comparison to the approach, relevance, actions, interventions, practicality, and current context. Foresee the way forward and propose necessary adjustments.

Relevance, Effectiveness and Efficiency

-) Were the context, problem, needs and priorities for the Outputs 2 and 3 well analyzed and reviewed during project initiation?
-) Are the planned project objectives and outcomes in relation to the Outputs 2 and 3 relevant and realistic to the situation on the ground?
-) Does the Outputs 2 and 3 link to intended outcomes which link to broader paradigm shift objectives of the project?
-) Are the Outputs 2 and 3 being delivered in a timely manner? Is the Outputs delivery supportive of the ToC and pathways identified?
-) How is the project Theory of Change (ToC) used in helping the project achieve results under the Output s2 and 3 . How is the ToC applied through the project for the Outputs 2 and 3?
-) Is the project Theory of Change (ToC) and intervention logic for the Outputs 2 and 3 coherent and realistic? Does the ToC and intervention logic hold or does it need to be adjusted? Reconstruct the ToC for the Outputs 2 and 3, if appropriate, aligning it with the [GCF ToC format](#).
-) Verify the mitigation impact that the project has achieved through the Outputs 2 and 3. Analyse the GHG emissions achieved (including indirect emissions) through the Output 2. Has an appropriate MRV system for GHG emission been established and implemented?
-) Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the Outputs 2 and 3? Were they sequenced sufficiently to efficiently deliver the Outputs 2 and 3?
-) Is actual delivery of the Outputs 2 and 3 supportive of the ToC and pathways identified?
-) What and how much progress has been made towards achieving the Outputs 2 and 3 and relevant outcome of the project (including contributing factors and constraints)?
-) To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints) in relation to the Outputs 2 and 3?
-) How realistic are the risks and assumptions of the project for the Outputs 2 and 3?
-) How did the project deal with issues and risks in implementation of activities under the Outputs2 and 3?
-) To what extent did the project's M&E data and mechanism(s) contribute to achieving of the Outputs 2 and 3 and relevant outcomes?
-) Are the project's governance mechanisms functioning efficiently for delivery of the Outputs 2 and 3?
-) Were there clear baselines indicators and/or benchmark for performance measurements for delivery of the Outputs 2 and 3? How were these used in project management in relations to the Outputs 2 and 3? To what extent and how the project applies adaptive management in delivery of the Outputs 2 and 3?
-) What, if any, alternative strategies would have been more effective in delivery of the Outputs 2 and 3?

Progress Towards Results

Progress Towards Results Analysis:

- v) By assessing the aspects of the Outputs 2 and 3 that have already been successful, identify ways in which the project can further expand these benefits.
- vi) Assess the log frame indicators for the Outputs 2 and 3 against progress made towards the end-of-project targets using the Progress Towards Results Matrix and colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each indicator; make recommendations from the areas marked as “Not on target to be achieved” (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ²⁷	Baseline Level ²⁸	Level in 1st APR (self-reported)	Midterm Target ²⁹	End-of-project Target	Midterm Level & Assessment ³⁰	Achievement Rating ³¹	Analysis status indicator justification rating (triangled evidence and how realistic is target to be achieved)
Fund Level Impact 1:	Indicator 1:							
	Indicator 2:							
Fund Level Impact 2:	Indicator 1:							
	Indicator 2:							
Outcome	Indicator 1:							
	Indicator 2:							
Output 1:	Indicator 1:							

²⁷ Populate with data from the Log frame and scorecards

²⁸ Populate with data from the Project Document

²⁹ If available

³⁰ Colour code this column only

³¹ Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

	Indicator 2:								
Output 2:	Indicator 1:								
	Indicator 2:								
Output 3:	Indicator 1:								
	Indicator 2:								
Etc.									

Indicator Assessment Key

Green= Achieved **Yellow= On target to be achieved** **Red= Not on target to be achieved**

In addition to the progress towards project progress analysis for the Outputs 2 and 3:

- Assess whether the total number of beneficiaries and indirect beneficiaries of the Outputs has been properly calculated.
- Identify remaining barriers to achieving the Outputs 2 and 3 in the remainder of the project.
- Include a comprehensive assessment of the impact of COVID-19 on the delivery of the Outputs 2 and 3. Assess the impact on the Output delivery along with a plan of action to address these.

Project Implementation and Adaptive Management

Management Arrangements:

- vii) Review overall effectiveness of project management to deliver Outputs 2 and 3 as outlined in the FAA/Funding proposal. Have changes been made and have these been approved by GCF for the Outputs 2 and 3? Are responsibilities and reporting lines for the Outputs 2 and 3 clear? Is decision-making for the Outputs 2 and 3 transparent and undertaken in a timely manner? Recommend areas for improvement.
- viii) Review the quality of execution of the Executing Agency/Implementing Partner(s) and project partners in framework of the Outputs 2 and 3 and recommend areas for improvement.
- ix) Review the quality of support provided by UNDP for delivery of the Outputs 2 and 3 and recommend areas for improvement.

Work Planning:

- ix) Review any delays in project start-up and implementation in delivery of the Outputs 2 and 3, identify the causes and examine if they have been resolved.
- x) Are work-planning processes for the Output 2 and 3 results-based? If not, suggest ways to re-orientate work planning to focus on results under the Outputs?
- xi) Examine the use of the project’s results framework/ log frame as a management tool for delivery of the Outputs 2 and 3 and review any changes made to it since project start.

- xii) Assess the feasibility of completing the proposed activities under the Outputs 2 and 3 within the given project timeline (if extension was sought for any project milestone; please consider the revised timelines as well).

Financing and Co-financing

- xv) Consider the financial management of the Outputs 2 and 3, with specific reference to the cost-effectiveness of interventions.
- xvi) Review the changes to fund allocations for the Outputs 2 and 3 as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- xvii) Have Outputs 2 and 3 resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?
- xviii) Does the Outputs 2 and 3 delivery have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the Outputs budget and allow for timely flow of funds?
- xix) Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing for the Outputs 2 and 3: is co-financing being used strategically to help to deliver the Outputs 2 and 3? Comment on the use of different financial streams (parallel, leveraged, mobilized finance), as applicable in the context of the Outputs 2 and 3 – see GCF policy on co-finance³².
- xx) Conduct an analysis of materialized co-financing for the Outputs 2 and 3 and implications for project scope and results. If the Outputs 2 and 3 co-finance is not materialising as planned (timed and/or amount), discuss the impact of that on the Output delivery.
- xxi) Assess factors that contributed to low/high expenditure rate for the Outputs 2 and 3 delivery.

Coherence in climate finance delivery with other multilateral entities

- ix) Who are the partners for the Outputs 2 and 3 delivery and how strategic are they in terms of capacities and commitment?
- x) Is there coherence and complementarity by the Outputs 2 and 3 with other actors for coastal ecosystem protection, restoration, and adaptation?
- xi) To what extent has the Outputs 2 and 3 complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation and mitigation efforts?
- xii) How has the Outputs 2 and 3 contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

Project-level Monitoring and Evaluation Systems:

- ix) Review the monitoring tools currently being used for delivery of the Outputs 2 and 3: Do they provide the necessary information? Do they involve key partners? Do they use existing information? Are they

³² <https://www.greenclimate.fund/sites/default/files/document/policy-cofinancing.pdf>

efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?

- x) Discuss any quality assuring mechanisms being used to assess delivery of the Outputs 2 and 3 (e.g. ISO standard, government accreditations, international certificates, etc.)
- xi) Is project reporting and information generated through the Outputs 2 and 3 delivery linked to national SDGs, NDC and other national reporting systems?
- xii) Examine the financial management of the project monitoring and evaluation budget for the Outputs 2 and 3. Are sufficient resources being allocated to monitoring and evaluation of the Output? Are these resources being allocated effectively?

Stakeholder Engagement:

- viii) Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders for delivery of the Outputs 2 and 3?
- ix) Participation and country-driven processes: Do local and national government stakeholders support the Outputs 2 and 3? Do they continue to have an active role in project decision-making that supports efficient and effective Outputs 2 and 3 delivery?
- x) Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards full delivery of the Outputs 2 and 3?

Reporting:

- ix) Assess how adaptive management changes have been reported in relation to the Outputs 2 and 3 by the project management and shared with the Project Board.
- x) Assess how well the Project Team and partners undertake and fulfil GCF reporting requirements for the Outputs 2 and 3 (i.e. how have they addressed poorly rated APRs, if applicable?)
- xi) Assess how lessons derived from the Outputs 2 and 3 adaptive management process have been documented, shared with key partners and internalized by partners.
- xii) Assess the efficiency, timeliness, and adequacy of reporting under the Outputs 2 and 3.

Communications:

- vi) Review internal project communication with stakeholders in the framework of the Outputs 2 and 3: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of Outputs 2 and 3 activities and investment in the Outputs sustainability?
- vii) Review external project communication in the framework of the Outputs 2 and 3: Are proper means of communication established or being established to express the Outputs 2 and 3 progress and intended impact to the public? Or did the project implement appropriate outreach and public awareness campaigns in the framework of the Outputs 2 and 3?)

Sustainability

Validate whether the risks identified for the Outputs 2 and 3 in the FAA and Funding proposal, APRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why. In addition, assess the following risks to sustainability

Financial risks to the Outputs 2 and 3 sustainability:

What is the likelihood of financial and economic resources to support the Outputs 2 and 3 not being available once the GCF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to the Outputs 2 and 3 sustainability:

Are there any social or political risks that may jeopardize sustainability of the Outputs 2 and 3? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the Outputs to be sustained? Do the various key stakeholders see that it is in their interest that the Outputs 2 and 3 is sustained and related Outputs benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the Outputs 2 and 3 sustainability? Are lessons learned in framework of the Outputs 2 and 3 being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the Outputs activities and potentially replicate and/or scale them in the future?

Institutional Framework and Governance risks to sustainability:

Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of the Outputs 2 and 3? While assessing this parameter, also consider if the required systems/ mechanisms for the Outputs 2 and 3 sustainability and ownership are in place.

Environmental risks to sustainability of the Output 2 and 3:

Are there any environmental risks that may jeopardize sustenance of the Outputs 2 and 3?

Country Ownership

- xi) To what extent is the Outputs 2 and 3 aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- xii) How well is country ownership of the Output 2 and 3 reflected in the project governance, coordination and consultation mechanisms or other consultations?
- xiii) To what extent are country level systems for the Outputs 2 and 3 management and M&E utilized in the project?
- xiv) Is the Outputs 2 and 3, as delivered, responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?
- xv) Was the mode of the Outputs 2 and 3 delivery appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of restored and protected coastal ecosystems?

Gender equity

- xv) Are financial resources/project activities for the Outputs 2 and 3 explicitly allocated to enable women to benefit from the Outputs activities?
- xvi) Do the Outputs 2 and 3 account in activities and planning for local gender dynamics and how the Outputs activities affect women as beneficiaries?
- xvii) How do the benefits of the Outputs 2 and 3 for women compare to those for men?

- xviii) Is the decision-making process for delivery of the Outputs 2 and 3 transparent and inclusive of both women and men?
- xix) To what extent are the Outputs 2 and 3 female stakeholders or beneficiaries satisfied with the gender equality results?

Innovativeness in results areas

What are the lessons learned to enrich learning and knowledge generation in terms of how the Outputs 2 and 3 played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the project and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

Unexpected results, both positive and negative

- ix) What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape in regards to the Outputs 2 and 3? Please account for factors both within the AE/EE and external.
- x) Can any unintended or unexpected positive or negative effects be observed as a consequence of the Outputs 2 and 3 activities?
- xi) What factors have contributed to the unintended results in the Outputs 2 and 3 delivery?
- xii) Do any of the unintended results in the Outputs 2 and 3 delivery constitute a major change?³³

Replication and Scalability

- xi) What are the Outputs 2 and 3 lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- xii) Assess the effectiveness of exit strategies and approaches to phase out assistance provided by the project in framework of the Outputs 2 and 3 including contributing factors and constraints? Is there a need for recalibration?
- xiii) What factors of the Outputs 2 and 3 delivery are contingent on specific local context or enabling environment factors?
- xiv) Are the actions and results from the Outputs 2 and 3 interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- xv) What are the key factors that will require attention in order to improve prospects of the Outputs 2 and 3 sustainability, scalability or replication?

Conclusions, Recommendations and Lessons Learned

³³ See Section '9.4 Major Changes and Restructuring' in the [GCF Programming Manual](#)

The Consultant will develop a section of the report setting out the evaluation's evidence-based conclusions, in light of the findings for the Outputs 2 and 3. Explain whether the project will be able to achieve planned development results under the Outputs 2 and 3 by the end of implementation.

Recommendations for delivery of the Outputs 2 and 3 should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary.

Academic Qualifications:

Advanced University Degree (Masters or equivalent) in natural sciences; with a specialization in environment, biodiversity, climate change or any other closely related field

Experience:

- xi) Minimum 7 years of relevant professional experience in natural resource management and climate change.
- xii) Recent experience application of results-based approaches to evaluation of projects focusing on Conservation Science, Natural Resource Management and Climate Change.
- xiii) Highly knowledgeable of participatory monitoring and evaluation processes.
- xiv) Familiarity with India's development, environment, climate change and other relevant policy frameworks.
- xv) Experience of conducting Project evaluations within the United Nations system will be considered an asset.

Competencies:

- xvii) Recent experience with result-based management evaluation methodologies:
- xviii) Experience working with project evaluations;
- xix) Experience working in India;
- xx) Demonstrated understanding of issues related to gender and Climate change, environment conservation, biodiversity, Livelihood, institutionalization, ecosystem management in gender sensitive evaluation and analysis ecosystem management in gender sensitive evaluation and analysis.
- xxi) Excellent communication skills
- xii) Demonstrable analytical skills

Language and other skills:

Proficiency in both spoken and written English

Compliance of the UN Core Values:

- xi) Demonstrates integrity by modelling the UN's values and ethical standards,
- xii) Promotes the vision, mission, and strategic goals of UNDP,
- xiii) Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability,
- xiv) Treats all people fairly without favoritism,

xv) Fulfils all obligations to gender sensitivity and zero tolerance for sexual harassment.

Deliverables and Timelines

TIMEFRAME (DURATION OF WORK)

The total duration of the Climate-resilient livelihoods and EbA institutionalization expert’s contract will be approximately over a period of 10.5 weeks. A National Consultant will complement the Lead/International Consultant over the same period. The tentative IE timeframe is as follows:

ACTIVITY	TIME PERIOD
VII. Desk Review and Inception Report	
Review of the documents and supporting the IC by providing inputs on field mission planning	04 th august
VIII. Field/Virtual Mission and Data Collection	
IE field mission (Virtual/ Field): stakeholder meetings, interviews, project site visits in regard to the Outputs 2 and 3	05 th -14 th August 2022
Supporting the International consultant in presentation of initial findings for output 2 and 3	15 th august 2020
IX. Report Writing	
Draft the Consultant’s report on the Output 2 and 3 and submit it to the Lead Consultant	16 th August 2022
Support in incorporating the comments provided by the team	
Supporting the International consultant in incorporation of comments on draft IE report #1 + Submission of draft IE report #2	18 th August 2022
Support in incorporating the comments provided by the team	21 st August 2022
Supporting the International consultant in; Incorporation of comments on draft IE report #2 by IC + Submission of final IE report + completed Audit Trail by IC (Report length should not exceed 50 pages, excluding annexes)	24 th August 2022
Supporting the IC in finalizing the report based on the comments received from GCF secretariat (if required)	27 th September 2022

Supporting the IC in conducting a Concluding Stakeholder Workshop (optional)	TBD WE have some time reserve (September) until October 1 here
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IE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	IE Inception Report	Supporting the IC in preparing evaluation methodology, work plan and structure of the IE report for output 2 and 3 , and options for site visits	by 03 August 2022	Supporting the International consultant in research, Collation of information, and compiling of the report
2	Presentation	Supporting the IC in consolidating the Initial Findings of the field mission and stakeholder interview for output 2 and 3	by 17 August 2022	Supporting the IC in presenting the initial findings to Project Management and Commissioning Unit
3	Draft IE Report #1	Supporting in the preparation of the full report (using guidelines on content outlined in Annex B) with annexes for output 2 and 3	19 August 2022	Supporting the IC in preparation and sharing of the 1 st draft to Commissioning Unit, reviewed by RTA, Project Coordinating Unit, NDA focal point
4	Draft IE Report #2	Supporting in the preparation of report for output 2 and 3 (using guidelines on content outlined in Annex B) with annexes	20 August 2022	Supporting the IC in preparation and sharing of the 2 nd draft to Commissioning Unit, reviewed by RTA, Project

				Coordinating Unit, NDA focal point
4	Final IE Report*	Supporting the IC in preparation of a revised report with audit trail	24 August 2022	Supporting the IC in preparation and sharing of the final report to Commissioning Unit
5	Concluding Stakeholder Workshop (optional)	Supporting the IC or the project team in conducting the concluding stakeholder workshop to present and discuss key findings and recommendations of the evaluation report for output 2 and 3	Within 2-3 weeks of completion of final IE report	Support the IC or Project Team and Commissioning Unit

*The final IE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

PAYMENT MODALITIES AND SPECIFICATIONS

Instalment of Payment/ Period	Deliverables or Documents to be Delivered	Approval should be obtained	Percentage of Payment
1 st Instalment	Satisfactory delivery of the final IE Inception Report	UNDP CO	20%
2 nd Instalment	Satisfactory delivery of the draft IE report #1	UNDP CO	50%
3 rd Instalment	Satisfactory delivery of the Final IE report + completed Audit Trail	UNDP CO and UNDP Nature, Climate and Energy Regional Technical Advisor (RTA), and Principal	30%

Instalment of Payment/ Period	Deliverables or Documents to be Delivered	Approval should be obtained	Percentage of Payment
		Technical Advisor (PTA)	

Criteria for issuing the final payment of 30%³⁴:

- ix) The final IE report includes all requirements outlined in the IE TOR and is in accordance with the IE guidance.
- x) The final IE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other IE reports).
- xi) The Audit Trail includes responses to and justification for each comment listed.
- xii) RTA approvals are via signatures on the TE Report Clearance Form)

¹ The Commissioning Unit is obligated to issue payments to the IE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the IE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://popp.undp.org/ layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

ANNEX A. LIST OF DOCUMENTS TO BE REVIEWED

31. Funding Proposal
32. Funded Activity Agreement (FAA)
33. UNDP Project Document
34. UNDP Environmental and Social Screening results
35. Project Inception Report
36. All Annual Performance Reports (APRs)
37. Progress reports and work plans of the various implementation task teams
38. Audit reports
39. Mission reports
40. All monitoring reports prepared by the project
41. Financial and Administration guidelines used by Project Team

The following documents will also be available:

42. Project operational guidelines, manuals and systems
43. UNDP country/countries programme document(s)
44. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
45. Project site location maps

ANNEX B: Guidelines on Contents for the Midterm Review Report³⁵

Basic Report Information (*for opening page or title page*)

- Title of UNDP-supported GCF-financed project
- UNDP PIMS# and GCF project ID#
- IE time frame and date of report
- Region and countries included in the project
- Executing Agency/Implementing Partner and other project partners
- IE team members

³⁵ The Report length should not exceed 40 pages in total (not including annexes).

Acknowledgements

Table of Contents

Acronyms and Abbreviations

Project Information Table

Executive Summary (2-3 pages)

- Project Description (brief)
- Project Progress Summary
- IE Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendations Summary Table

Introduction (2-3 pages)

- Purpose of the IE and objectives
- Scope & Methodology: principles of design and execution of the IE, IE approach and data collection methods, limitations
- Structure of the IE report

Project Description and Background Context (3-5 pages)

- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

Findings (12-14 pages)

4.1 Project Strategy

- Project Design
- Results Framework/Log frame

4.2 Relevance

4.3 Effectiveness and Efficiency

4.4 Progress Towards Results

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

- Comprehensive assessment of impact of COVID-19 on project implementation
- 4.5** Project Implementation and Adaptive Management
- Management Arrangements
 - Work planning
 - Financing and Co-financing
 - Coherence in climate finance delivery with other multilateral entities
 - Project-level monitoring and evaluation systems
 - Stakeholder engagement
 - Social and Environmental Standards (Safeguards)
 - Reporting
 - Communications
- 4.6** Sustainability
- Financial risks to sustainability
 - Socio-economic to sustainability
 - Institutional framework and governance risks to sustainability
 - Environmental risks to sustainability
- 4.7** Country Ownership
- 4.8** Innovativeness in results areas
- 4.9** Unexpected results, both positive and negative
- 4.10** Replication and Scalability
- 4.11** Gender Equity

Conclusions, Recommendations and Lessons Learned (*4-6 pages*)

5.1 Conclusions

- Comprehensive and balanced statements (that are evidence-based and connected to the IE's findings) which highlight the strengths, weaknesses and results of the project

5.2 Lessons Learned

- Concise and logically articulated set of lessons learned based on specific evidence presented in the report, to be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.

5.2 Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

Annexes

- IE ToR (excluding ToR annexes)
- IE evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Questionnaire or Interview Guide used for data collection
- Mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed IE final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft IE report

ANNEX C: IE EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)

Evaluative Questions	Indicators	Sources	Methodology
Relevance: Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
<p>Do the project activities address the gaps in the policy, regulatory and capacity framework at the national level?</p> <p>To what extent is the project suited to local and national development priorities and policies?</p>	<p>Degree to which the project supports national environmental objectives.</p> <p>Addressing gaps and/or inconsistency with the national and local policies and priorities</p> <p>Addressing gaps in capacity framework.</p>	<p>National policies, Project Document</p>	<p>Document analysis</p>

<p>How relevant the project's intended outcomes?</p> <p>How relevant is the involvement of different partners in the Project implementation given the institutional and policy framework for environment and food security sectors in India?</p>	<p>Degree to which the project supports national environmental and development objectives</p>	<p>Project documents and evaluations</p>	<p>Document analysis</p>
<p>Were the project's objectives and components relevant, according to the social and political context?</p>	<p>Degree of coherence between the project and national priorities, policies and strategies</p>	<p>Government of India, UNDP, Project Management</p>	<p>Interviews</p>
<p>Are counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?</p> <p>Are the stated assumptions and risks logical and robust?</p> <p>And did they help to determine activities and planned outputs?</p> <p>Is the project coherent with UNDP programming strategy for India?</p> <p>To what extent is the project in line with GCF operational programs</p>	<p>Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities</p> <p>Coherence UNDP and GCF operational programming</p>	<p>Project partners and relevant stakeholders</p> <p>UNDAF, UNDP/GCF</p> <p>Programming statements</p>	<p>Interviews</p> <p>Document analysis</p>
<p>Effectiveness: Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</p>			
<p>What expected outputs have been achieved thus far?</p>	<p>Degree of achievement vis a vis expected outcome indicators</p>	<p>PIR 2017</p> <p>Interviews</p>	<p>Document analysis</p> <p>Site Visits</p> <p>Interviews</p>

<p>To what extent have the expected outcomes and objectives of the project been achieved thus far?</p> <p>What have the products, such as studies, policy recommendations, dissemination campaigns, etc., affected [keeping in mind that this is a midterm review and several if not many products are still in the implementation or planning process]</p>			
<p>Was the project effective in acquiring a policy guidance for future developments in the field of livelihoods, Climate Change and sustainable environment management in the project districts?</p> <p>How is the Project addressing fragmentation of environment management policies, and institutional scattering considering this fragmentation?</p> <p>How is the Project contributing to avoiding fragmentation across policies and cross-cutting mandates?</p> <p>What other partners can be involved in the Project in a meaningful way to streamline the issue and by-pass or address the institutional and policy fragmentation of the environment and climate change in the project districts?</p>		<p>Project outcomes</p> <p>Norms, policies debated, adopted</p>	<p>Document analysis</p> <p>Stakeholders interviews</p>

<p>How well has the project involved and empowered communities to implement management strategies as they relate to environment and climate change in the project districts?</p> <p>How has the project incorporated gender issues as they relate to environment and climate change in the project districts?</p>	<p>Involvement of (direct and indirect) beneficiaries in project development and implementation</p> <p>Incorporation of gender dimension</p> <p>Analysis of participation by stakeholders (communities, civil society, direct and indirect beneficiaries, etc.).</p> <p>Effect of project aspects implemented at sites</p>	<p>Project outputs and outcomes</p>	<p>Interviews</p> <p>Site visits</p>
<p>What is causing delays in implementation and delivery of outputs of the Project?</p>	<p>Discrepancies between expected outputs/outcome by the time of Interim and actual achievements</p>	<p>Findings in project documents, achievement indicators</p>	<p>Document analysis (minutes of meetings specially)</p> <p>Site visits observation</p>
<p>In what outputs?</p> <p>Where are the implementation 'bottlenecks'?</p> <p>How can these issues be solved?</p> <p>What changes need to be implemented?</p>			<p>Stakeholder interviews</p>
<p>Partnerships for implementation</p>	<p>Working relationship between PMU, UNDP, and other strategic partners as well as donors</p> <p>Board functions</p>	<p>Findings in project documents (PIRs, minutes of meetings)</p> <p>Indications in interviews</p>	<p>Document analysis</p> <p>Stakeholder interviews</p>

<p>In what ways are long-term emerging effects to the project foreseen?</p>	<p>Level of coherence between project expected results and project design internal logic</p>	<p>Government of India, Project team, UNDP</p>	<p>Interviews</p>
<p>Were the relevant representatives from government and civil society involved in project implementation, including as part of the project</p>	<p>Level of coherence between project design and project implementation approach</p> <p>Role of committees in guidance</p> <p>Harness effectiveness by analysing how project's results were met vis-à-vis intended outcomes or objectives</p> <p>Draw lessons learned/good practices from the implementation and achievement of results</p>	<p>Project partners and relevant stakeholders</p>	<p>Document analysis</p>
<p>Efficiency: Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and could adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</p>			
<p>Was the project implemented efficiently, in line with international and national norms and standards?</p>	<p>Policies adopted / enacted</p> <p>Policies implemented</p> <p>Budgetary / financial means to implement policies drawn</p>	<p>Policy documents contain sustainability factors</p> <p>(policy adopted, implemented)</p> <p>Budget arrangements (allocations, etc.) made to sustain project outputs and outcomes</p>	<p>Documentation analysis</p> <p>Stakeholder interviews</p>

	Was adaptive management used thus far and if so, how did these modifications to the project contribute to obtaining the objectives? Has the project been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?	Quality of existing information systems in place to identify emerging risks and other issues	Project documents
	How did institutional arrangements influence the project's achievement of results?	Quality of risk mitigations strategies developed and followed	Government of India, Project team, UNDP
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long term project results?			
Sustainability possibilities Does the Project have an exit strategy? What components should an exit strategy have for this project?	In what way, may the benefits from the project are likely to be maintained or increased in the future?	See indicators in project document results framework and log frame	Project documents and reports
Social sustainability factors	Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?	Evidence that particular partnerships/linkages will be sustained	Government of India, Project team, UNDP
Political/financial sustainability	Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?	Evidence that particular practices will be sustained	Government of India, Project team, UNDP;

Replicability	Which of the project's aspects deserve to be replicated in future initiatives?	Evidence that particular practices will be sustained	Government of India, Project team, UNDP
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ANNEX D: UNEG CODE OF CONDUCT FOR EVALUATORS/INTERIM EVALUATION CONSULTANTS

Evaluators/Consultants:

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

IE Consultant Agreement Form

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

Name of Consultant: SUDARSHAN RODRIGUEZ

Name of Consultancy Organization (where relevant): RTLWORKS

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



Signed

Signed at GURGAON Date 15 SEPT 2022

ANNEX E: IE RATING SCALE

Rating scale for performance

Rating	Explanation
Highly Satisfactory (HS)	No shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Satisfactory (S)	Minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Satisfactory (MS)	Moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Unsatisfactory (MU)	Significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Unsatisfactory (U)	Major shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Highly Unsatisfactory (HU)	Severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency

Rating Scale for Sustainability

Rating	Explanation
Likely (L)	Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained
Moderately Unlikely (MU)	Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risk that project outcomes as well as key outputs will not be sustained
Highly Unlikely (HU)	Expectation that few if any outputs or activities will continue after project closure

Progress Towards Results Rating Scale

Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)	
Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

ANNEX F: IE Report Clearance Form

(to be completed by the Commissioning Unit and UNDP- NCE RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: _____

UNDP-NCE Regional Technical Advisor

Name: _____

Signature: _____ Date: _____

Principal Technical Advisor (Nature, Climate and Energy)

Name: _____

Signature: _____ Date: _____

ANNEX G: Audit Trail Template

Note: The following is a template for the IE Team to show how the received comments on the draft IE report have (or have not) been incorporated into the final IE report. This audit trail should be included as an annex in the final IE report

To the comments received on (date) from the IE of *Enhancing Climate Resilience of India’s Coastal Communities Project*) (UNDP Project ID-(PIMS 5991)

The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution (“Author” column) and not by the person’s name, and track change comment number (“#” column):




Author	#	Para No./ comment location	Comment/Feedback on the draft IE report	IE team response and actions taken

Annex 12: IE Report Clearance Form

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IE Report Clearance Form

MoEFCC-GCF- UNDP Project “Enhancing Climate Resilience of India’s Coastal Communities”

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: Ruchi Pant	
DocuSigned by:	
Signature: 	Date: 28/09/22
<small>610468015EA8498...</small>	
UNDP-NCE Regional Technical Advisor	
Name: Aishath Azza	
Signature: 	Date: _____
Principal Technical Advisor (Nature, Climate and Energy)	
Name: Srilata Kammila	
Signature: 	Date: _____