UN environment programme

Terminal Review of the "Expanding the ongoing support to Least Developed Countries with country-driven processes to advance National Adaptation Plans".

GEF ID Number: 5868

UN environment programme   UNDP   gef   Baastel

NAP-GSP
NATIONAL ADAPTATION PLAN GLOBAL SUPPORT PROGRAMME

UNEP and UNDP

30 June 2023

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Expanding the ongoing support to Least Developed Countries with country-driven processes to advance National Adaptation Plans
GEF ID: 5868
(March 2023)

ACKNOWLEDGEMENTS

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LIST OF ACRONYMS

AC	Adaptation Committee
COP	Conference of Parties
Covid-19	Corona Virus Disease 2019
EbA	Ecosystem-based Adaptation
FAO	Food and Agriculture Organization of the United Nations
GCF	Green Climate Fund
GEF	Global Environment Facility
GIZ	German Society for International Cooperation (by its initials in German)
GWP	Global Water Partnership
IFAD	International Fund for Agricultural Development
IISD	International Institute for Sustainable Development
LDC	Least Developed Countries
LDCF	Least Developed Country Fund
LEG	UNFCCC's Least Developed Countries Expert Group
LIFE-AR	LDC Initiative for Effective Adaptation and Resilience
LUCCC	Least Developed Countries University Consortium
M&E	Monitoring and evaluation
MDG	Millennium Development Goals
MoU	Memorandum of Understanding
MTR	Mid Term Review
MTS	Medium Term Strategy
NAP	National Adaptation Plan
NAP GSP	National Adaptation Plan Global Support Programme
NAPA	National Adaptation Programme of Action
NGO	Non-Governmental Organisation
OECD DAC	The Organisations for Economic Co-operation and Development's Development Assistance Committee
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ProDoc	Project Document (must be reviewed by PRC before any project can be undertaken, with the approval of the managing division director)
REEEI	Renewable Energy and Energy Efficiency Initiative for Sustainable Development
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goals
SP	Strategic Plan
TAG	Technical Advisory Group
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of Reference
TSU	Technical Support Unit
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme
UNDP BRH	UNDP Bangkok Regional Hub
UNEP	United Nations Environment Programme
UNEP ROAP	UNEP Regional Office for Asia and the Pacific

UNFCCC	Secretariat and the United Nations Framework Convention on Climate Change
UN Habitat	United Nations Programme for Human Settlements
UNISDR	United Nations Office for Disaster Risk Reduction
UNITAR	United Nations Institute for Training and Research
USD	United States Dollar
WHO	United Nations World Health Organization
WMO	World Meteorological Organization

PROJECT IDENTIFICATION TABLE

Table 1: Project summary

UNEP Sub-programme:		UNEP Division/Branch:	UNEP Ecosystem Division
Expected Accomplishment(s):	EA (a)	Programme of Work Output(s):	Climate Change
SDG(s) and indicator(s)	SDG 5 (target 5.5); SDG 10 (target 10.6); SDG 13 (targets 13.3 and 13.b)		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes		
Dates of previous project phases:	2013-16	Status of future project phases:	

FROM THE PROJECT'S PIR REPORT (use latest version) :

Project Title:	Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)

Executing Agency:	United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP)

Project partners:	The Least Developed Countries Fund (LDCF), the Global Environment Facility (GEF) Secretariat and the United Nations Framework Convention on Climate Change (UNFCCC) Secretariat, and UNFCCC's Least Developed Countries Expert Group (LEG) and the Adaptation Committee (AC), United Nations Institute for Training and Research (UNITAR), the Food and Agriculture Organization of the United Nations (FAO), German Society for International Cooperation (GIZ by its initials in German), the Global Water Partnership (GWP), the World Meteorological Organization (WMO), the United Nations Office for Disaster Risk Reduction (UNISDR), the United Nations Programme for Human Settlements (UN Habitat), the United Nations World Health Organization (WHO) and the International Institute for Sustainable Development (IISD).

Geographical Scope:	Global (LDCs in Africa, Asia and the Pacific, and Latin America and the Caribbean).

Participating Countries:	40 out of 47 Least Developed Country parties to the UNFCCC

GEF project ID:	5868	GEF Agency Project ID:	UNEP: 1306 UNDP: 5399
Focal Area(s):	Climate Change	GEF OP #:	Climate change adaptation
GEF Strategic Priority/Objective:	Climate Change Adaptation	GEF approval date*:	27 May 2016
UNEP approval date:	27 May 2016	Date of first disbursement*:	10 May 2017
UNDP approval date:	27 Sep 2016		

Actual start date[1]:	1 October 2016	Planned duration:	36 months
Intended completion date*:	April 2019	Actual or Expected completion date:	62 months (28 months extension with no cost)
Project Type:	Full-sized project	GEF Allocation*:	GEF: USD 6,200,000 UNDP: USD 3,800,000 UN Environment: USD 2,400,000
PPG GEF cost*:	USD 150,000	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	USD 13,700,000	Total Cost*:	USD 19,900,00
Mid-term Review/Evaluation (planned date):	January 2018	Terminal Review (Planned date):	January 2022
Mid-term Review/Evaluation (actual date):	June 2019	No. of revisions*:	3
Date of last Board meeting:	March 16, 2021	Date of last Revision*:	December 2020
Disbursement as of 30 June [year]*:		Date of planned financial closure*:	
Date of planned completion[2]*:		Actual expenditures reported as of 30 June 2022[3]:	Total: USD 5 959 835 UNEP: USD 2 333 524 UNDP: USD 3 626 311
Total co-financing realized as of 31 December 2022	Co-financing was not tracked	Actual expenditures entered in IMIS as of 31 December [year]*:	
Leveraged financing:[4]	-		

EXECUTIVE SUMMARY

I.   Introduction

Climate change poses a significant challenge to global poverty reduction and sustainable development efforts, with the most notable impacts expected in Least Developed Countries (LDCs). While LDCs have made progress in addressing immediate climate change effects and advancing poverty reduction goals, there is a need to integrate long-term climate planning into national development priorities. The National Adaptation Plan (NAP) process, established under the Cancun Adaptation Framework, aims to address this need.

I.   The Programme

The program "Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)" began in October 2016 and concluded in December 2021, with an original planned completion date of April 2019. It received a grant of USD 6,200,000 from the Least Developed Countries Fund (LDCF) and had USD 13,700,000 in co-financing. The program was co-implemented by the United Nations Environment Programme (UNEP) and the United Nations Development Programme (UNDP).

The program (NAP GSP II) constituted the second phase of the NAP Global Support Programme (GSP) for LDCs. It aimed to bridge the gap between the requirement for LDCs to develop medium- to long-term national adaptation plans and their limited capacities and financial resources to do so. In response to the increasing demand for support in advancing the NAP process, the expanded second phase was launched at COP22 in Marrakech in 2016.

The NAP GSP II focused on strengthening national capacities in line with guidelines from the UNFCCC's Least Developed Countries Expert Group (LEG). It built upon the experiences of the first phase and coordinated with other donor-supported capacity development programs while aligning with relevant national planning and budgeting initiatives. The program had three components: (1) tailored one-on-one country support to LDCs, (2) development of tools and regional training workshops, and (3) knowledge brokering to share and sustain knowledge on advancing the NAP process.

The program worked closely with planning ministries and key line ministries at the national level to enhance the institutional and technical capacities of LDCs in starting or advancing their NAP process. A Project Board provided strategic decision-making guidance, a Technical Advisory Group offered technical guidance, and a Technical Support Unit managed day-to-day operations. The program engaged with stakeholders such as the UNFCCC Secretariat, LEG, LDC Chair, and development partners involved in supporting the NAP process in countries.

II.   Review Methods

The Terminal Evaluation of the NAP GSP LDC II program has the objective of assessing the project's performance, outcomes, and impacts while fulfilling accountability requirements and facilitating operational improvement and knowledge sharing. The evaluation primarily targets the implementing staff and partners involved in the program, including UNDP, UN Environment, and other international development players working on NAP processes and climate change adaptation. The evaluation process comprised a desk review of documents, stakeholder interviews, and a survey with limited response rates. The collected data was carefully analyzed to address the evaluation questions and indicators, following the guidance outlined in the Terms of Reference and evaluation reference documents. Stakeholder comments and feedback will be considered in the final evaluation report.

The evaluation covers various aspects, including the relevance, effectiveness, efficiency, outcomes, and impacts of the project. It examines stakeholder satisfaction, governance structures, and operational improvements. Additionally, the evaluation serves as an important accountability mechanism for UNEP, UNDP, and the countries involved in NAP development. It also contributes to the ongoing discussions on adaptation planning within the UNFCCC framework. The evaluation findings will provide valuable lessons and insights for future program formulation and the implementation of NAP-related initiatives at both global and regional levels.

III. Review Findings

A. Strategic Relevance and Coherence

The NAP-GSP LDC II program effectively aligns with global discussions on climate change adaptation and adheres to UNFCCC guidelines. Its primary focus is on supporting NAP development in countries that are most in need. The program addresses the identified gaps by the Least Developed Countries Expert Group, such as capacity building and the integration of adaptation into development planning. It works in collaboration with UN agencies and external organizations to maximize its impact and ensure alignment with the broader development community. In summary, the program plays a crucial role in supporting NAP formulation, upholding UNFCCC guidelines, and driving the NAP process forward.

The launch of the NAP-GSP II program came at a crucial time when developing countries, particularly LDCs, faced significant capacity gaps in developing and implementing NAPs. The program aimed to bridge the divide between the need for national adaptation planning and the limited capacities and resources available. The terminal evaluation highlighted the program's relevance and suitability in addressing countries' needs, addressing key gaps in capacity and knowledge. The program placed a strong emphasis on country-driven support and aided in capacity building, institutional coordination, and the formulation of NAPs. While progress was made in expanding the program's focus at the sub-national level, there remains room for improvement. Enhancing inclusivity in the NAP process, particularly in terms of gender representation and engagement with the private sector and indigenous groups, could have been further emphasized.

The NAP GSP II program aligns strongly with UNEP, UNDP, and GEF/LDCF mandates, strategies, and priorities. It supports countries in developing technical capacity, accessing adaptation finance, and integrating ecosystem-based adaptation into national plans. The program contributes to the transition towards low-emission development and resilience to climate change, aligning with UNEP and UNDP's strategies. It also supports the LDCF's mandate and Climate Change Adaptation Strategies. The program is recognized in the LDCF's strategy and exhibits synergies with other initiatives, including the NAP-GSP non-LDC project funded by the SCCF.

The NAP-GSP II program drives coherence and complementarity by involving key UN organizations and development partners. It adjusts to evolving adaptation discourse and provides unique global support for the NAP process. Collaboration primarily occurs within the UN system, but efforts are made with non-UN organizations, networks, and partnerships. The program also collaborates with bilateral and regional partners and integrates activities related to accessing GCF funding for adaptation planning. Further exploration of complementarity is suggested, especially in terms of distilling lessons, south-south learning, and technical support.

Collaboration with multilateral development banks (MDBs) was limited in the NAP-GSP II program. While the African Development Bank (AfDB) participated in regional webinars, partnerships could not be established with the Asian Development Bank (ADB) and the World Bank due to mismatched objectives or unsuccessful discussions. The program also had limited coordination with the private sector but supported countries in identifying opportunities for engagement. Research institutes, think tanks, and civil society organizations were involved in collaborations, while the program played a central role in influencing the NAP discourse and fostering coherence in the NAP process. Close coordination with the LEG and active contributions to the NAP Technical Working Group under the UNFCCC/LEG and its recognition as a key initiative at the UNFCCC, shaping the GCF program, aligning with NDC revisions, and convening other development partners at the national level further exemplified its role in establishing coherence.

B. Quality of Project Design

The NAP-GSP II program had two separate project documents (ProDocs) for UNDP and UNEP, as well as a project identification form (PIF) for GEF/LDCF, which significantly complicated the review of the project design. While these documents provided a comprehensive situation analysis and identified stakeholders, there were inconsistencies and missing elements across them. Stakeholder analysis included gender groups and civil society organizations but lacked indigenous people groups and the private sector,

despite acknowledging their importance within the ProDocs. The alignment with strategies, frameworks, and national priorities was covered to varying degrees in the documents. The program design lacked a clear description of causal pathways from outputs to impact, except for a theory of change in the UNEP ProDoc. The M&E framework had shortcomings, with output-oriented indicators and incomplete baseline and mid-term targets. However, the operational design, knowledge management, and communications strategies were well-defined. The design of the second phase did not adequately incorporate lessons learned from the first phase, compromising its cost-effectiveness. The program activities addressed barriers related to climate-resilient development planning, limited financing, insufficient policy guidance, and limited availability of methodologies and tools. However, there were limitations in addressing weak coordination and political champions for adaptation.

C. Nature of External Context

The NAP GSP LDC II program was influenced by external factors such as the vision set by the LEG, which aimed for all LDCs to have a NAP by the end of 2020, increased support in accessing climate finance, and the need for ambitious actions to improve climate resilience and eradicate poverty. The program had to adjust its activities to align with these objectives, especially by providing support for NAP formulation and accessing the GCF Readiness Window for NAPs.

The program also faced challenges due to the COVID-19 pandemic, leading to adjustments in implementation and extensions. Despite the difficulties, the program adapted well and continued to support LDCs through remote engagement, virtual events, and the dissemination of knowledge products. Countries remained committed and found ways to make progress, and component 1 plans were completed and submitted to the UNFCCC in 2023.

D. Effectiveness

a. Availability of outputs

The NAP GSP LDC II program has achieved significant success in surpassing its targets and implementing activities to support NAP development in LDCs. The program exceeded its targets for output 1.1 by providing tailored support to 28 countries, surpassing the initial target of 20. It also facilitated the formulation and review of NAPs, conducted cost-benefit analyses, and enabled countries to access finance for NAP implementation. Output 2, which focused on training packages and capacity building, was successfully implemented with the development of three comprehensive training packages and additional resources, reaching 276 government technicians from 40 LDCs, including a notable 39% representation of women.

Despite these achievements, there were some challenges and deficiencies identified. The lack of mid-term targets affected the comprehensive analysis of outputs, and deficiencies in the monitoring and evaluation system, such as inconsistent reporting and confusion between outcome and output indicators, hampered accurate reporting on targets. The program fell short of the original target to reach all 47 LDCs for training. Notably, the NAP GSP II team ensured plenty of outreach to countries to nominate participants, and ultimately participation fell short due to countries own lack of nominating candidates., The low response rate to the survey distributed at program closure limited the assessment of interest and uptake of lessons learned.

Efforts were made to ensure sustainability and knowledge sharing through closing events, a knowledge portal website, and ongoing collaboration with partners. Several knowledge products were produced, including country case studies, guidelines, reports, and briefings, which have been widely shared. The program's impact is reflected in the average monthly visitors to the website and the continued partnerships with UNDP, UNEP, and other organizations. These findings highlight the need for improved monitoring and evaluation systems, clear targets, and broader participation to enhance the effectiveness and impact of future initiatives in NAP development and climate change adaptation.

b. Achievement of project outcomes

The evaluation of the NAP GSP LDC II program highlights the challenges in measuring institutional and technical capacity enhancement in countries for advancing their NAP process. The lack of a clear baseline and the time required for capacity building to become visible at the institutional level pose difficulties. Despite immediate increases in understanding from training, it remains uncertain if this

capacity is effectively applied in national adaptation planning. Nevertheless, some evaluative evidence pints towards the program successfully raising long-term capacity in LDCs through various outcomes.

Under Outcome 1, one-on-one country support significantly contributed to capacity building. Countries prioritized adaptation measures, developed roadmaps, and completed/submitted their NAPs with NAP GSP II program support. Access to GCF readiness funding was facilitated, stimulating additional adaptation funding. However, engagement and capacity raised varied across countries, particularly in the poorest LDCs, indicating limited involvement and awareness of the program.

Outcome 2 focused on training and providing tools for the NAP process. Training workshops and tools were well-received, with increased understanding of the NAP process and familiarity with available tools reported. Efforts were made to integrate subnational participation, but the extent of integration remained limited. Knowledge sharing and south-south learning were emphasized, allowing countries to share lessons learned and access knowledge products online.

The program successfully adapted Component 2 to achieve results during the Covid-19 pandemic, although it remains uncertain if in-person events would have yielded greater achievements. While virtual events allowed for reaching more beneficiaries, challenges were encountered, including internet connection issues and limited time for Q&A sessions, highlighting the pitfalls of the virtual environment in terms of ensuring deep engagement and learning.

The program had mixed success in breaking down barriers identified in the project plan, particularly in relation to capacity, awareness, financing, weak coordination, and political champions. While respondents acknowledged that some efforts were made to address these barriers, certain challenges, such as weak governance and the need for collaboration with other planning processes, remained unaddressed. The evaluation team recognizes that some activities, such as funding proposal development, were relevant in breaking down these barriers.

c. Likelihood of Impact

The programme has been instrumental in advancing the international discourse on NAPs during a period that saw dynamic changes in the international climate policy landscape with the introduction of NDCs, emergence of GCF and a readiness window for NAPs within it, etc. It has played a crucial role in bridging the gap between national implementation and global guidelines and has contributed to increased resources for NAPs, including the approval of NAP Agreements and the operationalization of the GCF NAP Readiness window. At the country level, the program's one-on-one support has helped countries advance their NAP planning process and develop GCF proposals, leading to clearer implementation plans and alignment with broader development agendas. However, there is still a need for stronger support in governance, budget planning, and resource mobilization to translate plans into actual on-the-ground action.

While the true impact of the program is challenging to measure at this stage, it is expected to be significant in terms of capacity building and adaptation on the ground. The program's focus on upstream policy work and limited engagement with sub-national levels, sectors, and the private sector, as well as the time lag required for global programs to yield results, contribute to the difficulty in assessing the full extent of its impact. Nonetheless, the program's influence on the NAP agenda and its contribution to shaping international dialogues on adaptation indicate a likely positive impact in the long term.

E. Financial Management

The evaluation team had access to comprehensive financial information provided by the program management team, with UNDP and UNEP sharing separate data. By December 2022, the program had spent 96% of the allocated resources from the project document or 94% of the revised budget according to the annual work plans. Despite the program's extended timeline, expenditures remained within the approved budget. The initial years had lower expenditure rates due to delays and slower start by UNEP, while the COVID-19 pandemic led to revised plans and lower-than-expected expenditures in 2019-2021.

There was a notable redistribution of expenditures among outcomes, with Outcome 1 aligning closely with the planned budget, while Outcome 2 spent less than anticipated, and Outcome 3 exceeded the planned budget. This shift was influenced by factors such as COVID-19 travel restrictions, resulting in

savings from canceled travels under Outcomes 1 and 2. These savings were redirected towards knowledge sharing and dissemination activities under Outcome 3. The program management cost remained within its budget cap, and UNDP employed creative budget management strategies. The monitoring and evaluation cost stayed within the planned budget, although it is uncertain if the cost of the terminal evaluation was included in the financial information provided.

While the project fulfilled the co-financing requirements, there is room for improvement in tracking and reporting for future endeavours. Overall applicable co-financing amounted to USD 48,084,894. UNDP demonstrated co-financing through projects related to agricultural sector integration, risk governance in Pacific Island countries, and the Strategic Initiative to Strengthen National Capacities in LDCs. The program raised substantial funding of USD 20,889,320 through its own activities including funding for approved projects and supporting GCF readiness proposals. Collaboration with partners was valuable, but there were instances where co-financing values were not properly accounted for.

F. Efficiency

The joint implementation of the NAP GSP LDC II program by UNDP and UNEP was successful, with positive feedback from stakeholders and effective coordination between the two agencies. The collaboration between the two agencies brought complementary expertise to the table, with UNDP's access to country offices and in-country networks, and UNEP's international network, regional presence, and expertise in training and capacity building. This joint approach allowed for expanded know-how and the availability of specific technical experts when needed. The joint implementation model also facilitated a larger network for accessing expertise and spreading awareness and facilitated efficient collaboration and minimized fragmentation in program implementation. The program leadership and open communication were also highlighted as contributing factors to its success.

The program recognized the importance of partnerships and engaged with various stakeholders throughout its implementation. Collaboration with partners aligned with the program's objectives and geographical scope was prioritized, along with knowledge partners who provided valuable expertise and training opportunities. The program's flexible approach to collaboration allowed for efficient partnerships based on identified needs, although some partners felt limited in decision-making authority. Strong institutional partnerships, such as with LEG, facilitated progress and knowledge exchange.

Cost-effectiveness was a key aspect of the program, with management costs within the efficient threshold and coordination with related projects and initiatives reducing expenses and increasing impact. The program benefited from financial assistance and co-hosted regional workshops with partners. The utilization of a small core team supplemented by experts on demand helped achieve targets while remaining under budget. The COVID-19 pandemic also contributed to cost savings by reducing travel and in-person event expenses.

The program's adaptive management approach enabled it to navigate challenges and changing circumstances effectively. Strategic Board meetings addressed implementation challenges, and the program responded to requests for support from LDCs, including accessing Green Climate Fund resources and assisting in NAP formulation. The program adapted to the constraints posed by the pandemic and the demands of COP26 through various measures, such as increased investment in national experts and virtual data collection.

G. Monitoring and Reporting

The project's monitoring and evaluation (M&E) plan includes reporting according to UNDP, UNEP, and GEF requirements, such as progress reports, Project Implementation Reports (PIRs), midterm reviews, independent terminal evaluations, and annual audit reports. However, the M&E plan has a limitation in that it separately reports on components based on the leading implementing agency, making it challenging to have a comprehensive understanding of the program's overall progress. The Results-based Management Framework, based on the Adaptation Tracking and Assessment Tool (AMAT), provides performance and impact indicators for project implementation, but it lacks robust baselines, targets, and tools to measure changes effectively.

The results framework fails to include defined outputs and lacks a clear linkage between outputs and objectives, hindering progress tracking and assessing pathways of change. The indicators at the

objective and outcome levels primarily measure outputs rather than outcomes, and the baselines for these indicators are not always robust. The targets set in the framework seem arbitrary and lack explanation. The lack of tools and methods to measure changes and the absence of spider grams or capacity scorecards further compromise the assessment of the program's impact. Additionally, reporting quality was insufficient, with limitations in the reporting formats, reporting on outcomes instead of outputs, and a lack of structured reporting on the progress and achievement of indicators.

Despite the shortcomings, efforts were made to address these issues, including conducting surveys and pre- and post-training assessments to capture input and assess the impact of capacity-building activities. However, these assessments do not fully capture long-term institutional and technical capacity building, which was a key objective of the program. The flaws in the design of the results framework and the lack of a theory of change contributed to the reporting deficiencies. The M&E roles and responsibilities were clear, and reporting was done through PIRs, board meeting reports, and TAG meeting reports. However, the overall quality of reporting was inadequate due to the limitations of the results framework and the absence of a theory of change to guide reporting effectively. The different reporting formats used by UNDP and UN.EP further complicated the assessment of results and achievements.

H. Sustainability

The project document includes an exit strategy aimed at ensuring the continuation of the NAP process beyond the project's duration. The strategy involves strengthening institutional and technical capacity, providing targeted training for government officials, developing, and sharing materials, participating in knowledge networks, and helping access external financial resources. All of which was at the centre of the project's implementation strategy. Indeed, the project has achieved success in strengthening institutional and technical capacity, providing training, developing materials, and building partnerships. However, it is, as mentioned, difficult to determine the long-term impact of capacity-building efforts.

Socio-political and institutional sustainability at the global level has been achieved through the program's partnerships and influence on the international development community. The program has contributed to the recognition of NAPs as a key tool for resilience building and has influenced climate change negotiations and funding mechanisms.

At the country level, the program has supported the NAP process and increased socio-political capacities in supported Least Developed Countries (LDCs). However, institutional capacity development remains limited, and gaps exist in implementing adaptation plans and accessing funding.

Financial sustainability is limited due to insufficient funding for adaptation planning and limited access to resources for LDCs. While the program has contributed to increased attention and funding for adaptation planning, LDCs still face challenges in accessing and mobilizing resources.

To ensure sustainability, LDCs need to strengthen their socio-political and institutional capacities, access funding opportunities, and develop specialized expertise in adaptation planning and implementation. The program has made progress in these areas, but further efforts are needed. Resource mobilization remains a significant challenge for LDCs, and support for investment planning and accessing funding is crucial.

IV. Conclusions and Recommendations

A. Conclusions

Despite the project delays, it is the assessment of the evaluators that a lot have been achieved while navigating challenging conditions. Programme targets have been met and/or overachieved, and the overall acceptance and sentiment around the program is highly positive. The programme has been welcomed by the countries, and overall stakeholders (both national and international) have viewed the programme as a pioneer and essential player in the coordination and advancement of national adaptation planning in LDCs. As a result, the project demonstrates a rating of Satisfactory.

The implementation of the NAP-GSP II program was highly cost-effective, achieving its objectives while keeping management costs below the efficient threshold. This was possible due to a well-built joint implementation model, close coordination with partners, and a small core team. Collaboration with other

initiatives and partnerships further reduced costs and increased impact. The program adapted to the challenges of the COVID-19 pandemic by reallocating savings to communication and outreach activities. Overall, the NAP-GSP program demonstrated its effectiveness in resource utilization and partnership leverage, providing valuable support to LDCs in addressing global challenges. The program's cost-effective approach can be applied to similar themes or extended to further assist LDCs in their adaptation planning efforts.

B. Lessons Learned

The following lessons learned can be drawn from programme implementation:

i.   Global support programmes can have a deeper impact on the overall climate adaptation dialogues, on one hand significantly advancing adaptation planning within countries, but also reversely influencing the overall discourse on national adaptation planning in LDCs.
ii.   A joint implementation model based on a clearly defined framework can greatly improve the potential and quality of support of a programme.
iii.   Capacity building activities face a dilemma between individual technical capacity building and long-term meaningful institutional capacity building.
iv.   Country driven-ness as a basis for delivery of support allows for an efficient and effective organization of communication and implementation of activities.
v.   The active search for and engagement of partners strengthens the implementation model of support initiatives, greatly improves the cost-effectiveness of their implementation, and establishes an implementation model that ensures coherence.
vi.   Project/programme designs need a robust theory of change and results management framework which draw clear lines on pathways of change.
vii.   Additional phases of programmes or projects should be informed by the independent and technically sound terminal evaluation of the preceding phases, addressing the caveats identified and following the recommendations made in that report.

C. Recommendations

Since the programme has ended and there are no subsequent phases of the NAP-GSP, the recommendations below are divided by (1) recommendations for the steps that UNDP and UNEP can take next to ensure continuation and improve some of its processes (mainly related to measuring capacity building). These are recommendations that are based on opportunities, which may ensure that the momentum that the NAP GSP II has begun, can be continued. And (2) are recommendations for integration in any future programming and planning.

Recommendations for immediate next steps and opportunities

1.   UNEP and UNDP should develop and/or deploy better tools to track and measure enhanced institutional and technical capacity: The programme initially planned to use capacity score cards to measure enhanced institutional and technical capacity but found them obsolete. The evaluators suggest that UNEP and/or UNDP examine the options for developing a tool or guidelines to effectively assess long-term technical and institutional capacity in climate change development practices, as current assessment tools are insufficient.
2.   Expand/upscale UNDP and UNEP support beyond the NAP GSP II to build capacity that take national adaptation planning to the next level: LDCs still have significant capacity needs to effectively implement and build resilience through their NAPs. Future support should focus on integrating adaptation planning vertically and horizontally, improving access to resources for NAP implementation, and enhancing overall climate governance, including collaboration with disaster risk reduction efforts and budget tagging for climate adaptation. This will help take the national adaptation planning process to the next level and ensure broader impact in building resilience.

Recommendations relevant to future phases or similar programme/project design

3.   Take proper note of and integrate recommendations and lessons learned from previous implementation of global programmes during the development of additional phases or similar global programmes: It is important to finalize evaluations of previous programs before initiating additional phases, and any upscaling should be based on these findings, lessons, and

recommendations. The findings and recommendations of programs like the NAP GSP LDC II should also inform the development of similar global support programs, as this practice can greatly impact project implementation.

4. Develop strong and comprehensive M&E Frameworks: future projects or programs with objectives of building long-term institutional and technical capacity should invest significant time in developing a theory of change and a comprehensive monitoring framework. This process should involve engaging key stakeholders, conducting a baseline assessment early on, and seeking guidance from monitoring and evaluation experts to ensure the framework is robust and aligned with project goals.

5. Track co-financing in a structured and systematic manner: The lack of standardized procedures and protocols for monitoring and reporting co-financing hindered the recording of partnerships and their contributions. Tracking co-financing is crucial for understanding progress, assessing the impact of partnerships, and identifying areas of improvement, highlighting the significance of partnerships in successful cases and revealing issues with co-financing in less successful ones.

I.   INTRODUCTION

Climate change and associated climate variability will negatively affect future development trajectories and thus pose a serious challenge to poverty reduction and sustainable development efforts around the world. These effects and challenges of climate change are expected to be most notable in Least Developed Countries (LDCs). LDCs have made some progress towards addressing the most urgent and immediate effects of climate change through initiatives such as National Adaptation Programme of Actions (NAPAs), as well as through advancement on poverty reduction and Millennium Development Goals (MDGs) over the last decade. However, these countries now need to integrate medium- to long-term planning for climate change into the framework of national development priorities. The National Adaptation Plan (NAP) process, established under the Cancun Adaptation Framework, is a means to address this need.

This report constitutes a Terminal Evaluation of the project "Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)" (henceforth NAP GSP LDC II). The objective of the programme is to further strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process. The programme was an extension of the first phase (NAP GSP LDC I), which **was launched in December 2013 at COP19** in Warsaw, Poland for a total budget of USD 2 million from the Least Developed Countries Fund (LDCF). This second upscaling phase, with a budget of USD 6.2 million also in LDCF funding, was launched in November 2016 at COP22 in Marrakech, Morocco, and operationally closed in December 2021, with some knowledge sharing and awareness activities continuing until June 2022.

The programme is jointly implemented by United Nations Environment Programme (UNEP) and the United Nations Development programme (UNDP), and ran from 2016 – 2021, with operational closure in December 2021. The programme was implemented through three components with associated outcomes as follows:

> <u>Component 1:</u> Under the first component, at least 20 LDCs, including new countries, were assisted upon request to strengthen their existing institutions for the development of NAP roadmaps and advancement of their NAP process in accordance with their needs. LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (UNDP).
>
> <u>Component 2:</u> Under the second component, thematic training packages are being prepared and focused regional trainings are being provided on tools and methodologies that support key steps in the NAP process. Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs (UNEP).
>
> <u>Component 3:</u> Under the third component, the exchange of knowledge on lessons learned is being further facilitated with the view to enhancing the capacity of LDC governments to advance their NAP process. A strategy to maintain the knowledge-sharing beyond the project duration will be developed at the end of the project. Knowledge on advancing the NAP process is captured, shared, and sustained (UNDP and UNEP).

In line with UNEP's Evaluation Policy and guided by the UNEP Programme Manual, the Terminal Evaluation was undertaken after completion of the project to assess project performance (in terms of relevance, effectiveness, and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

The Terminal Evaluation pays great attention to the validity of the assumed input-output-outcome results chain (using a theory of change approach to evaluation); the satisfaction of key stakeholders with the project; appropriateness of governance and management structures and processes; and the outcomes achieved. The evaluation has two primary purposes:
- to provide evidence of results to meet accountability requirements, and
- to promote operational improvement, learning and knowledge sharing. 33.

The evaluation is primarily intended for use by UNEP and UNDP as well as countries who have previously developed, or intend to develop, National Adaptation Plan. Given the ongoing process and discourse surrounding NAPs and the continued needs of LDCs to develop and implement NAPs, this report was also intended to contribute to ongoing UNFCCC discussions on adaptation planning. Therefore, the evaluation has identified lessons of operational relevance for future programme formulation and implementation of NAP-related global and regional programmes.

II.   REVIEW METHODS

The purpose of this assignment is to conduct the Terminal Evaluation of the NAP GSP LDC II programme. As indicated in the Terms of Reference (ToR), in line with UN Environment Evaluation Policy,[5] the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among the implementing agencies and its partners and stakeholders.

The main audience for this TE is the staff implementing and executing the programme: the Lead Technical Specialist, the Technical Specialist, the UNDP-GEF Regional Technical Specialist and the UN Environment GEF Task Manager, as well as UNDP-BHR, UNDP Nature, Climate and Energy teams and UN Environment ROAP more broadly. In addition, the review may be useful for UNDP and UN Environment at large, as well as to other international development players that design and implement programmes or projects on the NAP processes or more broadly climate change adaptation. Moreover, the TE will be used to inform the UNFCCC, LDC group on Climate Change, the LDCF Council, the participating countries and LDCs at large.

The findings of this TE are based on a desk review of relevant documents (annex III) and interviews (Annex II of a selection of stakeholders conducted between December 2022 and March 2023. The Desk review was complemented by 17 virtual interviews and multiple consultations with the Project implementation teams at UNDP and UNEP[6]. A Survey was also administered to 85 recipients, but despite multiple reminders, the survey received a very low response rate (only 13 complete responses[7]), as a result it has limited use for the terminal evaluation and responses will be used sparingly. Given the global nature of the programme, the evaluation process has not directly interviewed marginalised or potentially disadvantage groups, but human rights have been considered in the evaluation matrix. To ensure anonymity and confidentiality the report does not indicate which informant provided which information but refers only to the type of informant where relevant.

Based on the information collected (document review and interviews), the evaluation team has analysed the data to inform the selected indicators and answer the evaluation questions presented in the evaluation matrix (Annex IV). The evaluators have cross-analysed and triangulated the quantitative and qualitative data assembled based on the results of the various interviews and the documentary review. Ratings are based on the findings and the guidance provided in the ToR, the UNEP evaluation manual, and terminal evaluation reference documents that guides terminal evaluation analysis at UNEP. Stakeholders will review this draft evaluation report and provide comments. These will be addressed in the preparation of the final evaluation report.

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[5] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[6] Representatives from 6 of the 10 participating countries were interviewed.
[7] Sixteen responses were recorded but three respondents only completed the first section of the survey.

III. THE PROJECT

A. Context

The programme "Expanding the Ongoing Support to Least Developed Countries (LDCs) with country driven processes to advance National Adaptation Plans (NAPs)" (hereafter also 'the programme') commenced implementation in October 2016 and was completed in December 2021. Its planned completion date was April 2019. However, in 2019 it was extended based on the Mid-term review (MTR). The programme is implemented with a USD 6,200,000 grant from the Least Developed Countries Fund (LDCF) (administered by the Global Environment Facility (GEF)) and is implemented with USD 13,700,000 in co-financing[8]. The programme is co-implemented by the United Nations Environment Programme (UNEP) (LDCF = USD 2.4 million) and the United Nations Development Programme (UNDP) (LDCF = USD 3.8 million).

The programme constituted the second phase of the NAP Global Support Programme (GSP) for LDCs (herewith referred to as NAP GSP II), which was implemented between 2013 and 2015. The first phase (NAP GSP I) was also supported by the LDCF and was launched at the 19th Conference of the Parties (COP19) in Warsaw, Poland. It was aimed to fill the gap between the requirement for countries to advance medium- and long-term national adaptation planning and the limited capacities and financial resources of LDCs to develop and implement these plans. In 2015 there were still gaps in the capacity of LDCs to implement and advance NAP processes, while the demand for support to advance the NAP process was also increasing. Therefore, at COP22 in Marrakech, Morocco the expanded second phase of the programme was launched (2016 - 2021).

NAP GSP II was expected to further strengthen national capacities in harmony with guidelines from the UNFCCC's Least Developed Countries Expert Group (LEG). The programme was designed based on the experiences from the first phase and implemented in coordination with other donor-supported programmes for capacity development, and in line with relevant ongoing and planned initiatives pertaining to national planning and budgeting.

Figure 1: Programme Timeline

2013-2015
NAP-GSP Support for LDCs (I)
USD 2 million from the LDCF
Supporting LDCs based on request

2016-2019
NAP-GSP for LDCs (II), approved in May and launched in November 2016; USD 6 million from LDCF to expand support towards building capacity of LDCs, initially planned until April 2019

2019-2020
Deadline extended for the NAP-GSP for LDCs (II)

2020-2021
Deadline extended for the NAP-GSP for LDCs (II) until June 2021 (taking into account impacts of COVID-19)

Source: 38th meeting of the LEG

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[8] The co-financing comes from Germany (BMUB), Australia, Denmark, UNEP, and UNDP.

B.   Objectives and components

The objective of the programme was to *further strengthen the institutional and technical capacities of a group of LDCs to start and/or advance their NAP process,* which will assist LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions and by integrating climate change into medium- to long-term development frameworks. Given the needs expressed by Governments, the program was primarily designed to address national priorities and was not targeted towards the sub-national or wider regional level. The Nap GSP II was structured around three components/areas of support:

- **Component 1. Tailored one-on-one country support to LDCs (led by UNDP).** This component had as objective to enhance capacities of LDCs to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets. Therefore, LDCs were assisted upon request to strengthen their existing institutions for the development of NAP roadmaps and advancement of their NAP process in accordance with their needs.
- **Component 2. Development of tools and targeted regional training workshops (led by UNEP).** This component focused on the development and provision of tools and approaches to support and implement elements of the National Adaptation Plan process to all LDCs. Thematic training packages were prepared, and focused regional trainings were provided on tools and methodologies that support key steps in the NAP process.
- **Component 3. Knowledge brokering (led by UNDP and UNEP)** captured, shared, and sustained the knowledge on advancing the NAP process. The exchange of knowledge on lessons learned was further facilitated with the view to enhancing the capacity of LDC governments to advance their NAP process. Furthermore, a strategy to maintain knowledge-sharing beyond the programme duration was developed.

C.   Stakeholders

The programme works with a wide range of stakeholders, which are summarized in Table 2

Table 2. Identification of stakeholders

Type of stakeholder	Stakeholder
Executing Agency	UNDP and UN Environment
Project partners	<u>UNFCCC and its entities:</u> GEF/LDCF Secretariat, UNFCCC Secretariat, UNFCCC's LEG and Adaptation Committee (AC), GCF, <u>UN Specialized agencies:</u> UNITAR, the Food and Agriculture Organization of the UN (FAO), UN Programme for Human Settlements (UN Habitat), the World Health Organization (WHO), World Meteorological Organization (WMO), the United Nations Office for Disaster Risk Reduction (UNISDR), UN office for Disaster Risk Reduction (UNDRR), UN Office for Sustainable Development (UNOSD), UN Women. <u>Other specialized and bi-lateral agencies:</u> German Development Agency (GIZ by its initials in German), Global Water Partnership (GWP), International Fund for Agricultural Development (IFAD), African Development Bank (AfDB), International Institute for Sustainable Development (IISD), the Least Developed Countries Universities Consortium on Climate Change (LUCCC). <u>Academia and research institutes:</u> Adaptation Futures, Cap Net, CBA Conferences, Global Commission on Adaptation, Gobeshona series of Conferences, GERICS, ICCCAD, KEI, LDCs University Consortium on CC SEI, SlycanTrust and TERI. <u>Regional and global networks:</u> NAP Global Network the Global Adaptation Network (GAN); the Asia-Pacific Adaptation Network (APAN); the Africa Adaptation Knowledge Network (AAKNet); and Communities of Practice (CoPs) within the Asia-Pacific Adaptation Network (APAN) and ADAPT- Asia Pacific

	"Knowledge Sharing Strategies and Platform", UNDP Climate Promise, the NDC Partnership, UN Development Group (UNDG)'s joint Mainstreaming, Acceleration and Policy Support (MAPS).
Beneficiary countries	All LDCs can benefit from the programme, with the following 40 reached through either of the three components: Angola, Bangladesh, Benin, Bhutan, Burundi, Chad, Cambodia, CAR, Democratic Republic of Congo (DRC), Djibouti, Gambia, Guinea, Guinea Bissau, Haiti, Liberia, Madagascar, Mauritania, Mozambique, Myanmar, Nepal, Niger, Senegal, Sierra Leone, Somalia, South Sudan, Tanzania, Timor Leste, Uganda, Vanuatu, and Zambia
Programme implementation structure	Technical Advisory Committee, Technical Unit
Other relevant stakeholders	Non-programme UNDP and UN Environment staff

D. Project implementation structure and partners

The Implementing Agencies (IAs) for the Programme are the UNDP and UNEP headquarters, with UNDP as Implementing Agency for Outcome 1 and Outcome 3/Output 3.2 and UNEP for Outcome 2 and Outcome 3/Output 3.1. The IAs are accountable to the GEF/LDCF for the results and spending of resources as approved.

Execution/implementation of day-to-day activities was delegated to regional offices. For UNDP the programme was executed by UNDP-Bangkok Regional Hub (UNDP BRH) while for UNEP the programme was executed by UNEP Regional Office for Asia and the Pacific (UNEP ROAP). **Error! Reference source not found.** illustrates the implementation modality.

While the IA (headquarters) are accountable to the GEF/LDCF for the results and spending of resources approved, the executing agencies (UNEP BRH and UNDP ROAP) are responsible for services related to implementation, recruitment of project staff and consultants, travel, sub-contracting, organization of regional and national workshops for the respective outcomes and outputs. This allowed for a firewall between implementation and execution of the programme, which was aimed at raising accountability.

Figure 2. Implementation Modality
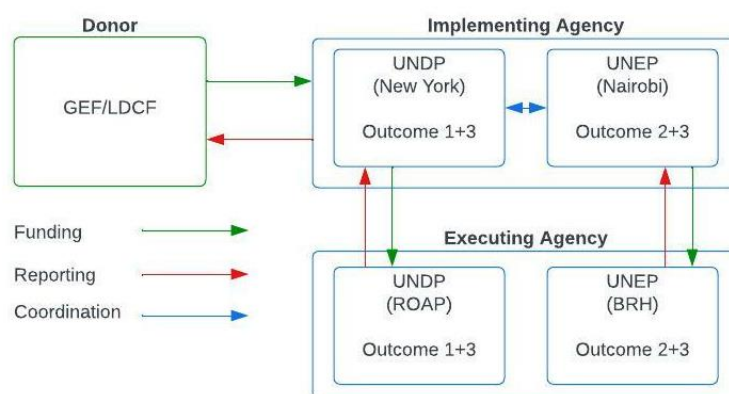
Source: Evaluators interpretation

As illustrated in **Error! Reference source not found.**, the operational structure also includes a Project Board (PB), a Technical Advisory Group (TAG) and a Technical Support Unit (TSU). The PB is the strategic decision-making body of the programme. It provides overall guidance and direction to the programme and is responsible for making decisions on a consensus basis, when high-level strategic guidance is required, including the approval of major revisions in programme strategy or implementation approach. The PB consisted of one representative from UNDP (Co-chair), one representative from UNEP (Co-chair) and one representative from the GEF-LDCF Secretariat. Other relevant stakeholders participate in meetings as observers on a need-basis – upon approval by the PB – as Board Members.

The TAG provided technical guidance to programme activities, including review of the annual work plan with recommendations, for endorsement by the PB. It met annually and consisted of representatives from the UNFCCC Secretariat, LEG, LDC Chair and development partners engaged in activities to support the NAP process in countries (e.g., UNITAR, GIZ, FAO, IFAD, WHO, etc).

Figure 3: Organigram of the Project with key project key stakeholders
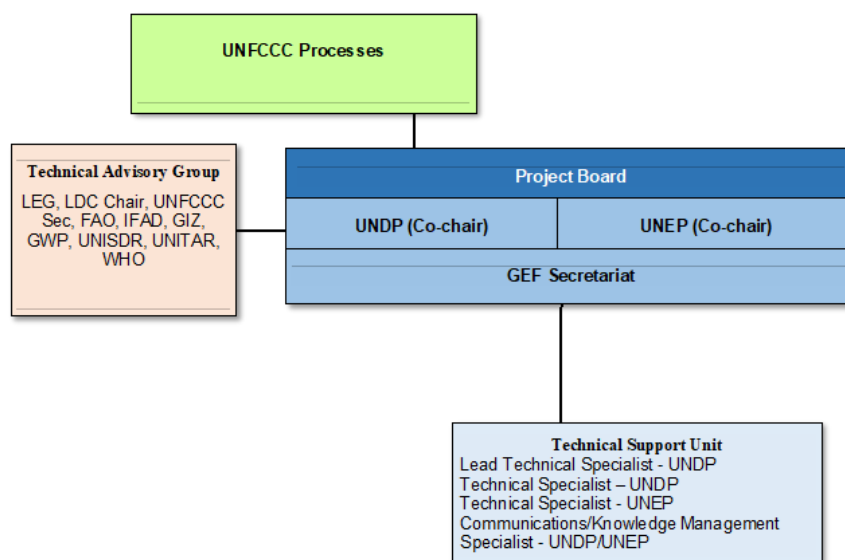
Source: Terms of Reference

The day-to-day management was undertaken by the TSU, which included a Lead Technical Specialist (recruited and paid for by UNDP BRH with programme funds) and a Technical Specialist (recruited and paid for by UNEP ROAP with programme funds)[9].

At the national level, the programme worked with relevant planning ministries (e.g., Finance and Planning / Development), as well as key line ministries (e.g., Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).

E. Changes in design during implementation

Three no-cost extensions were completed during programme implementation:

- In February 2019 an extension was requested and granted to move the closure date from April 2019 to June 2020. The main reasons were the slow upstart of the project, the high number of requests for support achieved and the low expenditure of the budget at that time (see also Financial Management and Timeliness of activities for a more elaborated discussion). No major changes were made to the programme design except for the extension.

- In February 2020 a second extension was requested and granted to move the closure date from June 2020 to June 2021. The extension should be understood against the context of the Covid-19 pandemic (see also Nature of the External Context) and the LEG request to support for NAP formulation for LDCs. This extension allowed the NAP GSP LDC II to extend its support towards

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[9] The project document planned a bigger technical support unit. According to the ProDoc (p. 45), this would include a lead Technical Specialist (recruited and paid for by UNDP), an Investment Finance Specialist (recruited and paid for by UNDP), a Technical Specialist (recruited and paid for by UNEP) and a Communication/Knowledge Management Specialist (recruited and paid for by UNEP).

the development of the NAPs of a group of LDCs, which were particularly behind on the process.[10] (See Timeliness of activities for a more elaborated discussion)

- In December 2020 a third and last project extension was requested and granted (in March 2021) which moved the closure date from June 2021 to December 2021. The extension was primarily due to the Covid-19 pandemic which slowed down activities; and several changes to the project design were made (see **Nature of the External Context**). Furthermore, the extension also allowed for the programme to extend support to several LDCs in their preparation for COP26 in Glasgow (see Timeliness of activities for a more elaborated discussion).

A Mid-Term Review (MTR) was carried out in 2019 which assessed the performance of the programme since its CEO endorsement (in May 2016) up to December 2018. The MTR analyzed the programme's design in terms of relevance, effectiveness, and efficiency, and helped determine the likelihood of the programme achieving its intended outcomes, including their sustainability. This present Terminal Evaluation follows up on the MTR, in particularly assessing the implementation of the 11 MTR recommendations.

During implementation, no changes were made to the program design of the NAP GSP LDC II in response to the MTR. Changes were implemented, but not because of the MTR, but rather due to an external context which changed some of the direction and activities of the NAP GSP LDC II. These are addressed in the section on nature of external context.

The programme management unit did react to the MTR recommendations with a management response and follow-up actions which are summarized in Table 33. The terminal evaluation assessed whether the proposed actions were implemented as mentioned in the management response. In short, NAP GSP LDC II did not implement its proposed action for recommendation 8, partly implemented its proposed actions for recommendations 1 and 2 and implemented its actions as proposed for all other recommendations. Regarding recommendations 1 and 2, sufficient complementary actions were taken for the NAP GSP LDC II to be in line with the management response. The same can be said of recommendation 8 as the programme management unit indicated the workload of developing joint annual progress reports was bigger than its beneficial impact. Responsiveness to the recommendations is also integrated in the analysis of the programme under key findings.

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[10] In particular, the extended support had as objective to finalize the NAPs of Burundi, CAR, Chad, DRC, Sierra Leone, South Sudan and Timor Leste, and to increase the visibility and outreach of the NAPs of CAR, Chad and DRC by supporting the design and layout as well as providing a translation into English.

Table 33: Summary of MTR recommendations, management responses, proposed actions, and assessment of those actions.

Recommendations	Management responses	Proposed actions	Follow up at terminal Evaluation
Strategic Relevance			
1) The programme should involve subnational governments in a more substantive way, trying to connect the different levels of adaptation planning and implementation.	The project team **partially agrees** with the recommendation. While the remaining activities will be executed ensuring that subnational entities are targeted, the NAP process is fully country-led, and the priorities are set by the central governments. The project team commits to ensuring the government counterparts are briefed about the recommendation and request the nomination of subnational representatives at all relevant regional training events.	Request the nomination of subnational representatives at all relevant regional training events.	While support was not provided directly to the subnational level, national governments were incentivized to include the subnational in the NAP process in the consultation phase: • Under outcome 1, support was provided to ministries to engage with the local level (South Sudan and Cambodia). • Under outcome 1, support for consultation workshops in the NAP process were encouraged to include subnational levels (vertical integration). • Under outcome 2, the invitations for regional workshops provided resources for the participation of three persons per country which provided space for a participant from the subnational level. • Under outcome 2, one training event was directed towards participants representing cities. • Under outcome 3, an event was organized at the COP (with UN Habitat) on how to include the subnational level in the NAP process. The nomination of representatives of the subnational level was not requested itself.
2) Expand collaboration with other climate financial sources and UN agencies (The World Bank, CIF (PPCR), regional MDBs, and private sector? + reach sub-national level partners)	The project team **partially agrees**. The project team commits to ensure such collaboration is further enhanced during the remaining activities. However, mobilizing funding for a separate programme is beyond the scope of its stated mandate. Noting that the project has taken significant steps towards the close collaboration with other UN specialized agencies since its inception, the project team agrees to expand on the collaboration, particularly in relation to the activities under outcome 3.	a) Ensure collaboration with private sector and other potential sources of adaptation finance is further enhanced. b) Explore working with the UNCDF, particularly with LoCaL at the regional events.	Collaboration with potential sources of finance was enhanced through: - Increased coordination and collaboration with the GCF relating to the organization of webinars how to leverage GCF finance, advising GCF on how to shape the support for NAPs, inviting GCF to regional training workshops. - Organization of a webinar in collaboration with AfDB.

		c) Expand on the collaboration with specialized UN Agencies, such as WMO and UNITAR, for the conduction of online exchanges/course of relevance to the NAPs.	- Inviting GEF to take part in regional training, besides regularly briefing them on the NAP progress and needs of countries. - Contacted ADB and World Bank yet no common ground was found for collaboration. - Collaborated with LoCal (see Relevance to GEF/LDCF - COP 7 (Marrakech, 2001) decided to establish the LDCF (decision 5/Cp.7), administered by the GEF Secretariat. The fund was designed to address the special adaption needs of the LDCs under the UNFCCC and was requested to facilitate the implementation of the LDC work programme, which focused on the preparation and implementation of NAPAs. COP 18 (Doha, 2012) requested the GEF "to provide funding from the LDCF to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan process" (decision 12/Cp. 18), which was introduced by the UNFCCC COP as a means to allow developing countries to identify and address medium and long-term adaptation needs (decision 1/Cp.16). COP 21 in Paris and COP 22 in Marrakech reinforced LDCF's mandate to support the NAP process. In this context, NAP GSP LDC II has supported the LDCF to accomplish the mandate from COP 18 to fund the strengthening of the NAP process so that LDCs achieve their commitments under the UNFCCC. Further to this, and as detailed in the MTR, the NAP GSP LDC II is very well aligned with the LDCF Climate Change Adaptation Strategies of 2014-2017 and 2018-2021, in terms of goals, objectives and outcomes.

			It is worth noting that the LDCF 2018-2021 strategy (pp. 38-39) explicitly mentions NAP-GSP LDC II as an example of support to global initiatives, which "is a unique feature of the LDCF as other major climate adaptation funds have not supported them in a similar fashion". In addition to the NAP GSP LDC II, the LDCF portfolio also includes NAP projects in several countries (e.g., Senegal, Rwanda, Chad, Niger, Bangladesh), and many LDCF projects have NAP elements, showing the alignment of the programme with LDCF priorities. In addition, the Special Climate Change Fund (SCCF) funded the NAP-GSP non-LDC project, which included many synergies with NAP GSP LDC II. - Relevance to countries needs and Quality of programme management and stakeholder engagement). Regarding the private sector, the NAP GSP LDC II did not systematically build bridges with the private sector. However, its awareness raising activities and capacity development allow for more specific ties in the future for which, without doubt, significant efforts are needed.
Effectiveness			
3) When supporting the development of GCF proposals the programme should include sub-national and sectoral aspects as well as further catalyze investment.	The project team **partially agrees**. While the data, information and knowledge developed through the project activities has been useful to many countries to access climate finance (including stocktaking and roadmaps), the formulation of proposals per se falls outside the remit of the project's objectives. It should also be noted that most proposals countries have formulated with the support of UNDP and UN Environment do include a dedicated outcome to develop a financing strategy to ensure investments from all sources (domestic, international, public, private) are catalyzed for adaptation.	Share the recommendation with the UNDP and UNEP Units supporting countries access climate finance	The inclusion of the subnational level has been treated by actions summarized for the first recommendation (see above). Besides those, the NAP GSP LDC II has kept the principle of country drivenness central and provided support on request.

4) Training on climate risk assessments bringing scientific evidence and provide more sector-focus training.	The project team **partially agrees**. The programme commits to promoting trainings on quality climate risk assessment and expand the scope of hands-on-training. However, ensuring a sector-focus, while a good idea, proves to be impractical (due to the LEG decision to ensure all LDCs submit a NAP by 2020 and the presence of many sectors during regional trainings).	Promote trainings on quality climate risk assessments, particularly during the regional trainings and in partnership with other specialized agencies (i.e., WMO) and expand the scope of hands-on-training.	A training was organized in collaboration with WMO, providing information on climate risk assessments and introducing Climate Information[11], a useful tool developed by WMO and GCF to support and facilitate climate risk assessments.
5) Develop capacity score card for each participating country	The project team **partially agrees**. The assessment of the capacity baselines would require a thorough analysis of participating countries' capacities, which is a time-consuming and costly endeavor. Given the remaining resources, the project commits to assessing the usefulness and uptake of the knowledge produced and shared through its activities.	Assess the usefulness and uptake of the knowledge produced and shared through the project activities by designing and administering a dedicated survey for all participating countries.	Pre- and post-training assessment were organized to gain information and insights on the capacities developed. No capacity score cards were developed.
Financial Management			
6) Accelerate rate of expenditure and no cost extension.	The project team **agrees** with the recommendation.	Revise workplan and ensure expenditures and delivery accelerate. Request the Project Board for a no-cost extension	Three no cost extensions were requested and granted in February 2019, February 2020 and December 2020 (see Timeliness of activitiesOther factors contributing to the cost-effective implementation was the Covid-19 pandemic which resulted in lowered expenditure towards travelling and organizing large in-person events. These savings were re-invested in an increase in communication and outreach activities, as can be seen in the expenditure level of outcome 3 (see Financial Management and Nature of the External Context). This is deemed a highly efficient way of directing costs to ensure similar results were achieved. Such activities are less prone to exceed their planned budget, which has had an additional positive effect on the cost-effectiveness of the program.Other factors contributing to the cost-effective implementation was the Covid-19 pandemic which resulted in lowered expenditure towards travelling and organizing large in-person

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[11] https://climateinformation.org/

			events. These savings were re-invested in an increase in communication and outreach activities, as can be seen in the expenditure level of outcome 3 (see Financial Management and Nature of the External Context). This is deemed a highly efficient way of directing costs to ensure similar results were achieved. Such activities are less prone to exceed their planned budget, which has had an additional positive effect on the cost-effectiveness of the program.). The rate of expenditure was sped up yet still below the rate as planned in the project documents and revised workplans until 2021 (see Financial Management).
Efficiency			
7) Develop strategy to take advantage of the difference between countries that participated in the first phase	The project team **agrees** to continue to build its activities on the lessons learned during the first phase and based on the evolving global context. Specifically, through its regional activities, the project has been ensuring lessons learnt, common challenges and opportunities are discussed and shared, and will continue to do so. In addition, the project commits to supporting such exchanges during the online webinars organized in the remaining part of the project.	Ensure lessons learnt, common challenges and opportunities are discussed and shared, during the regional training events. Support country exchanges during the online webinars organized in the remaining part of the project.	A strategy to take advance of the difference between countries which had already participated in the first phase and countries which did not, was not developed. However, lessons learned during the NAP process of specific countries were shared through various ways: - A final workshop was organized which focused on the sharing of lessons learned. The plan was to bring all the countries together, but the global covid-19 pandemic forced the event to be held online. The workshop was done in three time slots, one for Asia and two for Africa (francophone and anglophone) over three days. This allowed the organizers to share the discussion and lessons learned of Asia in Africa and vice versa. - Many of the knowledge products developed include lessons learned. These are all still available through the dedicated website.
Monitoring and evaluation			
8) Annual joint progress report	This comment is **well received**. The project team commits to discussing the recommendation with the Result-Based Management teams in both organizations to see how to best address the comment before the upcoming reporting period and	Discuss the recommendation with the Result-Based Management teams in both organizations to see how to best address the comment	An annual joint progress report was never developed. No evidence of a discussion among Result-based management teams was transferred to the evaluation team.

	for any upcoming similar program where two agencies are involved.	and keep a record of the discussion.	The absence of a joint annual progress report needs to be understood against the background that the GEF Portal was not functional yet during most of the program's lifetime.
9) Improvements in the RMF indicators and measurement tools.	The project team **partially agrees**. Strengthening the RMF by establishing a full set of indicators would require an approval from the Donor and is time consuming. The project does commit to assess changes in perceived capacity based on the effects of knowledge dissemination. The budget set aside for the TE will be sufficient to assess such changes supported by the project, with the caveats that a) it will be conducted through a mix of desk-review and interviews and b) will only be able to collect primary information from a handful of countries. The project team will share the recommendation/s with the project board.	Assess changes in perceived capacity based on the effects of knowledge dissemination. Ensure the budget set aside for the TE will be sufficient to assess policy and capacity changes supported by the project. Share the recommendation/s with the project board.	The recommendations were shared with the project board and sufficient budget was set aside for the terminal evaluation. No changes were made to the RMF. A final survey was organized at the end of the program to assess changes in capacity.
Sustainability			
10) Further direct involvement of other key actors on adaptation at the national, subnational, and sectoral levels	The project team **does not agree** with the recommendation: - Civil society awareness-raising and outreach is not within project scope. - The NAP-GSP awareness raising, and capacity building is designed to be targeted at select technicians within the key ministries. - Academia were already supported through the NAP-GSP LDC support to Gobeshona - and the Least Developed Countries Universities Consortium on Climate Change (LUCCC).	/	No actions were taken regarding this recommendation and the programme continued to follow its original approach regarding stakeholder involvement. Actions regarding the subnational level are outlined for the first recommendation (see above).
11) Continue strengthening and create new partnerships with specialized UN agencies	The project team **partially agrees**. The coordination with NAP Ag is well noted and indeed part of the project's modus operandi since its inception. Mobilizing resources for a UN joint program falls outside the scope of this project and its mandate. The project will continue to partner with other UN specialized agencies, as noted under management responses 2 and 4.	Continue working in coordination with the NAP Ag. Continue to partner with other UN specialized agencies	The programme has worked in coordination with the NAP Ag and its successor SCALA (see Quality of programme management and stakeholder engagement). Partnerships with other UN Agencies, among which UN Habitat and WMO, were also fruitful after the Mid-term review (see Relevance to GEF/LDCF COP 7 (Marrakech, 2001) decided to establish the LDCF (decision 5/Cp.7), administered by the GEF Secretariat. The fund was designed to address the

| | | | special adaption needs of the LDCs under the UNFCCC and was requested to facilitate the implementation of the LDC work programme, which focused on the preparation and implementation of NAPAs. COP 18 (Doha, 2012) requested the GEF "to provide funding from the LDCF to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan process" (decision 12/Cp. 18), which was introduced by the UNFCCC COP as a means to allow developing countries to identify and address medium and long-term adaptation needs (decision 1/Cp.16). COP 21 in Paris and COP 22 in Marrakech reinforced LDCF's mandate to support the NAP process. In this context, NAP GSP LDC II has supported the LDCF to accomplish the mandate from COP 18 to fund the strengthening of the NAP process so that LDCs achieve their commitments under the UNFCCC. Further to this, and as detailed in the MTR, the NAP GSP LDC II is very well aligned with the LDCF Climate Change Adaptation Strategies of 2014-2017 and 2018-2021, in terms of goals, objectives and outcomes.

It is worth noting that the LDCF 2018-2021 strategy (pp. 38-39) explicitly mentions NAP-GSP LDC II as an example of support to global initiatives, which "is a unique feature of the LDCF as other major climate adaptation funds have not supported them in a similar fashion". In addition to the NAP GSP LDC II, the LDCF portfolio also includes NAP projects in several countries (e.g., Senegal, Rwanda, Chad, Niger, Bangladesh), and many LDCF projects have NAP elements, showing the alignment of the programme with LDCF priorities. In addition, the Special Climate |
|---|---|---|---|

			Change Fund (SCCF) funded the NAP-GSP non-LDC project, which included many synergies with NAP GSP LDC II. **Relevance to countries needs and**).

F.   Project financing

The total project financing was USD 19,900,000 which is financed through an LDCF grant of USD 6,200 000 and USD 13,700,000 in parallel co-financing. As per the project document, the project financing was divided according to each project component:

1) Outcome 1: USD 3,300,000 (UNDP)

2) Outcome 2: USD 2,000,000 (UNEP)

3) Outcome 3: USD 300,000 (UNDP) and USD 304,762 (UNEP)

4) Project management cost: USD 200,000 (UNDP) and USD 95,238 (UNEP)

5) Monitoring and evaluation: USD 9,000 [12] (UNDP) and USD 88,000 (UNEP)

According to the ProDoc, co-financing is provided through grants, by the following sources:

1) BMUB - Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (Germany): Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (USD 4 000 000 - Outcome 1).

2) Australian Government: Pacific Risk Resilience Programme (USD 4,000 000 - Outcome 1).

3) Danish Government: Adaptation Mitigation Readiness Project (USD 800,000 – Outcome).

4) UNDP: Strategic Initiative to Address Climate Change in Least Developed Countries (USD 4,900 000 - Outcome 3).

As of December 2022, with the programme operationally close, USD 5,959,835 was spent, leaving USD 240,165 to be refunded to the GEF. In terms of co-financing, neither UNDP nor UNEP provided information on their actual realization (see Financial Management)

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[12] Despite being mentioned in Annex 5 of the project document, this USD 9000 is not reflected in the total project cost. If counted, the total project cost is USD 6 209 000.

IV. THEORY OF CHANGE AT REVIEW

The Project Document (ProDoc) does not include a Theory of Change (ToC). In Annex 15 of the UNEP ProDoc a problem tree and a solution tree are included, but there is no adequate explanation on how these two diagrams are linked nor how they relate to the programme objectives, outcomes and outputs or the risks and assumptions behind the identification of problems and/or solutions. Based on the problem and solution tree, the Terms of reference and the Project Document a Theory of Change was developed for this terminal evaluation, see Figure 4.

The Theory of Change constructed for this TE includes four interventions, based on the three components. This means the four interventions encompass the institutional support, the technical support and the knowledge brokering services the programme is offering to the different countries involved. These four interventions were aimed to address eight barriers:

1. Climate-resilient development planning is not currently 'business-as-usual' for national development planners and economic-decision-makers.
2. The multi-faceted and complex nature of climate change impacts is not well understood.
3. Weak horizontal (cross-sectoral) and vertical (national/sub-national) coordination.
4. Limited financing for appropriately trained personnel in key public sector institutions, who have the skills and mandates needed to support climate resilient planning, and financing.
5. Insufficient policy guidance.
6. Limited availability of evidence-based methodologies and tools.
7. Few political champions for the NAP process.
8. Limited awareness, communication, and knowledge-sharing of the NAP process among LDCs.

The eight barriers are adapted from the Project Document of the programme. When successfully implemented the interventions should not only address the barriers, but feed into three outcomes: (1) enhanced capacities for LDCs to advance medium to long-term adaptation planning processes, (2) accessible tools and approaches to support and implement elements of the NAP process and (3) knowledge on advancing the NAP process is captured, shared, and sustained. The achievement of each of the three outcomes will contribute to the overarching objective of the programme which is:

"Further strengthening the institutional and technical capacities of LDCs to start and/or advance their NAP process."

The Problem Tree does not define an impact for the Theory of Change. However, the impact of progress in the NAP process is eventually to implement climate change adaptation actions. Therefore, the impact sought is to decrease vulnerabilities and increase resilience towards climate change effects of societies and people in LDCs.

The transition from interventions to outcomes, outcomes to objective and objective to impact depends however on certain drivers. Seven drivers are identified on different levels (see Figure 4).

The whole result chain is grounded on three assumptions which, despite not being fully under the direct control of the programme, are crucial if the programme is to achieve its objective. The programme assumes that to progress from outcomes to objective (impact), effective coordination will take place at the international and national levels with development partners supporting NAPs. Moreover, it assumes sufficient cooperation between relevant government agencies and stakeholders in the sharing of relevant information. The final assumption concerns the LDC government representatives and stakeholders. The programme assumes LDC government representatives and stakeholders recognise the value of programme-related training initiatives and have the time to attend regional targeted training workshops.

Figure 4: Theory of Change

INTERVENTIONS → BARRIERS → OUTCOMES → OBJECTIVE → IMPACT

Expanding the Ongoing Support to Least Developed Countries with country driven processes to advance National Adaptation Plans

Interventions:
- Expand technical (one-on-one) support
- Develop and disseminate tools and methodologies
- Organise targeted training workshops
- Facilitate the exchange of knowledge and lessons learned

Barriers:
- Climate-resilient development planning is not currently 'business-as-usual'
- Multi-faceted and complex nature of climate change impacts
- Weak horizontal and vertical coordination
- Limited financing
- Insufficient policy guidance
- Limited availability of evidence-based methodologies and tools
- Few political champions
- Limited awareness, communication and knowledge sharing

Drivers (green):
- Trained technicians remain in position
- Trained technicians spread knowledge
- Tools sufficiently tailored
- Sufficient ownership of NAP process

Outcomes:
- LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets
- Tools and approaches to support and implement elements of National Adaptation Plan process are accessible to all LDCs
- Knowledge on advancing the NAP process is captured, shared and sustained

Objective:
Strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process

Drivers (green):
- Political will to continue commitment at all levels
- Resources mobilized through NAP project proposals
- Initiate implementation of NAPs

Impact:
Decreased vulnerabilities and increased resilience of LDCs and people living in LDCs towards climate change effects.

Assumptions (yellow):
- Effective coordination at the international and national levels with development partners supporting NAPs
- Sufficient cooperation between relevant government agencies and stakeholders in the sharing of relevant information
- LDC government representatives and stakeholders recognise the value of project-related training initiatives and have the time to attend regional targeted training workshops

Legend:
- Assumptions (yellow)
- Drivers (green)

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V.   REVIEW FINDINGS

A.   Strategic Relevance

Relevance and alignment with the global dialogue on adaptation planning in Least Developed Countries (UNFCCC and LEG)

The NAP-GSP LDC II program is well aligned with the global dialogues on climate change adaptation. The UNFCCC has mandated countries to develop National Adaptation Plans (NAPs) through decision 1/CP.16 establishing the overall NAP Process. The MTR documented well the NAP-GSP LDC II's alignment with the UNFCCC's relevant guidelines and noted that the program "for the most part responds to them." The alignment has been consistent throughout program implementation as the NAP-GSP LDC II has aligned with elements of the process to formulate NAPs, as well as COP and CMA decisions, and articles of the Paris Agreement.[13] Particularly, the program:

- <u>Has supported NAP formulation and NAP capacity building overall focusing on where the need is highest:</u> During 2018-21, the UNFCCC, through the Conference of the Parties (COP), consistently reaffirmed the need to speed up NAP development (Decision 8/CP.24; Decision 7/CP25; and Decision 3/CP.26), recognizing the slow movement and complexities of formulating and implementing NAPs, and urged as well as encouraged developed country Parties and other relevant organizations to continue to mobilize support for adaptation activities in developing country Parties (Decision 7/CP.25, para. 7; Decision 8/CP26; para. 22). Support from the NAP-GSP LDC II has been consistent during its operational period by aligning program implementation with UNFCCC objectives and guidelines for NAPs, following the principles established for the NAP process in terms of promoting country-driven, participatory, inclusive, and transparent approaches, and it by targeting the audience and countries in most need of assistance. Based on the climate dialogues at the COP surrounding the slow movement of NAP formulation in the Least Developed Countries (LDCs), the program adapted its operations and changed course to specifically focus on countries which were delayed in their adaptation planning process, these were countries that had a first NAPA, but no NAP and thus were in greatest need of support.
- <u>Aligned its support with visions, requests, and needs expressed by the Least Developed Countries Expert Groups (LEG).</u> The LEG is a key vehicle for support on the NAP process under the UNFCCC. The second phase of the NAP GSP LDC II was expected to further strengthen national capacities in harmony with guidelines from the UNFCCC's LEG. In 2019, the UNFCCC requested LEG, "within its existing mandate and workplan, to consider gaps and needs related to the process to formulate and implement NAPs" (Decision 7/CP.26, para. 7). Particular gaps and needs noted by the LEG in its "Summary Progress Reports to Formulate and Implement NAPs"[14] have been partly (and where relevant) covered through the NAP-GSP LDC II, for example through implementation of capacity building on accessing climate finance for NAPs, interpreting and applying climate science in NAPs, integrating adaptation in development planning, expanding south-south learning, and the need for various guiding principles on inclusiveness, gender, ecosystem based adaptation etc. The latter was directly supported by the NAP-GSP LDC II through the development of Guidelines to integrate Ecosystem-based Adaptation in NAPs (see section on effectiveness).
- <u>Continued coordination with the broader development community to drive forward the NAP process.</u> As further elaborated below, the program has collaborated across UN agencies and external organizations to maximize results regarding the NAP program. For example, through its work with

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[13] LEG 36 meeting. Addressing gaps and needs related to the process to formulate and implement NAPs. UNDP Contribution. 2019
[14] 2018, 2019, 2020, 2021.

the World Meteorological Organization (WMO) (in 2021) to suit the UNFCCC request for capacity building on climate data and development of climate change scenarios.[15]

Alignment with UNEP and UNDP Strategic Plans and Programmes

During its years of operation, the NAP GSP II was well aligned with the mandates, strategies and priorities determined by both UNEP and UNDP. As part of their overall adaptation agendas, both development partners vouched supporting countries by building technical capacity and helping them accessing adaptation finance and setting up institutions to coordinate development and implementation of national adaptation plans that integrate ecosystem-based adaptation. According to the MTR the program supported UNEPs Medium Term Strategy (MTS) 2014/2017 as well as the 2018/2021 MTS. Likewise, objectives and outcomes matched UNDPs 2014-17 Strategic Plan as well as the Strategic Plan 2018-2021. In this sense, the programme is congruous with the vision of helping "countries achieve sustainable development by eradicating poverty in all its forms and dimensions, accelerating structural transformations for sustainable development and building resilience to crises and shocks"[16].

The present terminal evaluation also finds that the objectives and interventions of the NAP GSP II aligned with the annual work programs of both UNEP and UNDP, which clearly integrated targets and activities to support the development of NAPs. During the five years of NAP GSP II operations (2017-21), the Program of Work (POW) which guides UNEPs annual operations, consistently had as a key objective under sub-programme 1 (Climate Change) that countries "transition to low-emission economic development pathways and enhance their adaptation and resilience to climate change;" With support to NAPs as a key indicator measuring success on this objective, and an expected accomplishment of the Secretariat being that "Countries increasingly advance their national adaptation plans, which integrate ecosystem-based adaptation."[17]

Relevance to GEF/LDCF

COP 7 (Marrakech, 2001) decided to establish the LDCF (decision 5/Cp.7), administered by the GEF Secretariat. The fund was designed to address the special adaption needs of the LDCs under the UNFCCC and was requested to facilitate the implementation of the LDC work programme, which focused on the preparation and implementation of NAPAs. COP 18 (Doha, 2012) requested the GEF "to provide funding from the LDCF to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan process" (decision 12/Cp. 18)[18], which was introduced by the UNFCCC COP as a means to allow developing countries to identify and address medium and long-term adaptation needs (decision 1/Cp.16). COP 21 in Paris and COP 22 in Marrakech reinforced LDCF's mandate to support the NAP process[19]. In this context, NAP GSP LDC II has supported the LDCF to accomplish the mandate from COP 18 to fund the strengthening of the NAP process so that LDCs achieve their commitments under the UNFCCC. Further to this, and as detailed in the MTR, the NAP GSP LDC II is very well aligned with the LDCF Climate Change Adaptation Strategies of 2014-2017 and 2018-2021, in terms of goals, objectives and outcomes.

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[15] UNFCCC (2018). Decision 8/CP.24; para 21: UNFCCC "Welcomes the efforts of the World Meteorological Organization and other relevant organizations in providing capacity-building to developing countries, as appropriate, on the analysis of climate data and the development and application of climate change scenarios in vulnerability and risk assessment."
[16] UNDP Strategic Plan 2018-2021, which slightly rephrases the 2014-2017 formulation.
[17] UNEP Programme of Works 2018-19, 2019-20, and 2020-21.
[18] The COP, in decision 12/CP.18, provided guidance to the Global Environment Facility (GEF) to enable activities for the preparation of the NAP process by the LDC Parties through the Least Developed Countries Fund (LDCF).
In concrete terms, the GEF was requested (a) As a first step under the NAP process, to provide funding from the LDCF, to meet the agreed full cost, as appropriate, of activities to enable the preparation of the NAP process as described in the elements contained in paragraphs 2-6 of the initial guidelines for the formulation of NAPs in the annex to decision 5/CP.17; (b) To provide support for the NAP process, while maintaining support for the LDC work programme, including NAPAs; (c) To encourage a flexible approach that enables the LDC Parties to access funding for components of the NAP process as identified by the LDC Parties in response to national needs and circumstances.
[19] In this context, the LDCF Council, at its 14th meeting in 2013, endorsed the document GEF/LDCF.SCCF.14/06, *Operationalizing Support to the Preparation of the National Adaptation Plan Process in Response to Guidance from the UNFCCC COP*.

It is worth noting that the LDCF 2018-2021 strategy (pp. 38-39) explicitly mentions NAP-GSP LDC II as an example of support to global initiatives, which "is a unique feature of the LDCF as other major climate adaptation funds have not supported them in a similar fashion". In addition to the NAP GSP LDC II, the LDCF portfolio also includes NAP projects in several countries (e.g., Senegal, Rwanda, Chad, Niger, Bangladesh), and many LDCF projects have NAP elements, showing the alignment of the programme with LDCF priorities. In addition, the Special Climate Change Fund (SCCF) funded the NAP-GSP non-LDC project, which included many synergies with NAP GSP LDC II.

Relevance to countries needs and priorities.

According to interviews, the NAP-GSP II was a pioneer program in global support to build capacity and advance the NAP process. There has been a clear agreement within the development community and the UNFCCC dialogues that a high need persists in developing countries – particularly LDCs - to be able to develop and implement NAPs. As noted by the Open NAP's initiative in 2019 supported by the LEG, "the LDCs continue to struggle and face severe capacity gaps in formulating their NAPs, given limited technical expertise available to them to cover the broad set of issues necessary in developing quality NAPs."[20] At the time of the NAP-GSP's operationalization, there were few initiatives that supported capacity building for the development and implementation of the NAPs, and the program thus came at an opportune time. Building on the first phase of the NAP-GSP for LDCs, the NAP-GSP II was launched to respond to countries' needs in terms of development of their NAPs including understanding and being able to go through the process by which a NAP is developed and implemented. It was aimed to fill the gap between the requirement for countries to advance medium- and long-term national adaptation planning and the limited capacities and financial resources of LDCs to develop and implement these plans.

Within its objectives and targeted outcomes, the terminal evaluation concludes that the support provided by the NAP-GSP II was relevant and suitable to countries' needs (see Table 4) and helped cover key gaps in capacity and knowledge. Support was country-driven (Outcome 1) and adjusted to the request for necessary global support to build capacity, awareness, and knowledge (Outcomes 2 and 3). The alignment with beneficiary needs was confirmed through interviews for the present terminal evaluation, which shows increased and significant support for LDCs. LDCs have been engaged and interested in commencing national adaptation planning, but expressed that they did not have adequate budget, capacity, and awareness to carry out the process. The NAP-GSP II provided this capacity building and learning by enhancing institutional coordination, building capacity, and supporting countries in formulating their first NAPs. At the end of the program, respondents to the NAP-GSP survey noted that the most relevant themes supported by the NAP GSP II were (1) the process of developing and implementing NAPs (33 percent); (2) NAP and NDCs (30 percent); and (3) Adaptation project preparation (15 percent). Other notable themes supported included climate finance, appraisal of adaptation options, and vulnerability assessments.

Table 4. relevance of the program to beneficiaries' needs, by component

Relevance towards countries' needs for one-on-one support to strengthen institutions (component 1)
As noted in the NAP GSP LDC 2 prodoc (p. 8), LDCs requested one-on-one support beyond the capacity of the first phase". The activities of the NAP-GSP matched the needs for one-on-one country support (see **Effectiveness**), and the activities have been designed to help break down barriers specifically related to limited financing available and insufficient policy guidance on NAPs (per the TOC). The program offered technical assistance particularly related to stocktaking on countries capacities, policies, strategies and plans to carry out NAP planning. This was a first step in the process to assess what the countries needed, and it thus worked as an

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[20] UNFCCC (2019), Open NAPs. Policy Brief. Issue no. 1. May 2019. https://unfccc.int/sites/default/files/resource/opennapbrief.pdf

essential step in ensuring each country had support tailored to their need, making the NAP-GSP in-country support highly country driven. Further to this, tailored support included national and sub-national consultations; development of NAP roadmaps, work plans and priority activities; formulation of NAPs; and project proposal development (e.g., in Cambodia). Indeed, for the survey carried out for this terminal evaluation, the in-country support was noted as the most valuable support provided with 8 of 13 survey respondents rating it most valuable and the rest rating it mediocre value. No one rated it of no value.

Relevance towards countries' need for capacity (component 2)

As also expanded upon in the section on effectiveness, the program has developed a broad range of in-country and regional training programs and online courses. The training material developed, has generally fit the needs of the countries, as illustrated through the final survey responses for the NAP-GSP II, where 73 percent of the respondents noted that they found the events and material interesting and relevant for their work. The themes of the training material, points towards training that has been modelled to fit beneficiaries needs and priorities as identified through the LEG. Besides providing broad range learning on the entire NAP Process (through the course "Mastering NAPs – from Start to Finish"), a few examples of alignment include as follows: (i) Capacity building and direct training of technicians on how to strengthen the production and access to climate data and on understanding climate scenarios through national and regional training modules (with GIZ and WMO). (ii) Likewise, the program responded to the needs for capacity building in risk and vulnerability assessments through the development of training packages on how to conduct risks and vulnerability assessments in adaptation (with GIZ), and (iii) it aligned with the need for how to prioritize adaptation options through the development of the online course "making the right choices" (with UNITAR). It has also developed a variety of training modules and sessions on specialized themes such as integration of gender, mainstreaming adaptation in water resource management, aligning NAPs and NDCs, and development of guidelines for integrating Ecosystem-based Adaptation (EbA) in NAPs, the latter of which were released at a time where the concept of EbA was seeing broader indications in countries planning, but there were little knowledge on how to use EbA in NAPs. In 2022, the LEG noted that one of the key challenges for countries was to access funding from the GCF for formulating and implementing NAPs (LEG Progress Report 2022).

Relevance towards the need for exchange of knowledge and sharing of lessons learned (component 3)

The work carried out under component 3, has aligned with the consistent need for learning across borders. A specific gap noted by LEG in 2019 was the need for Expanding South–South exchanges to capitalize on experiences with similar or common climate shocks. The NAP-GSP has conducted several events related to South-South learning, as also detailed in effectiveness. During Covid, regional webinars were conducted on relevant subjects (aligning NAP/NDC; Accessing GCF Readiness etc.), and in 2021 the program held a South-South knowledge exchange forum on NAPs for all LDCs aimed at facilitating exchange among NAPs and exploring existing and untapped opportunities in addressing medium- and long-term adaptation needs through NAPs. This forum was developed around seven (7) key issues related to the NAPs, which also responded to the gaps noted by the LEG.[21] The final NAP-GSP II Survey revealed that 68 percent of respondents to the NAP-GSP final survey found the information in the regional events and knowledge exchange events useful and relevant. In addition, the Programme's Website is easy to navigate and contain a vast number of resources on lessons and knowledge on the NAP processes in other countries; including country brief, thematic briefs, and guidelines.

The program made some progress on expanding focus at the sub-national level during the latter part of its implementation (responding to recommendation 1 of the MTR), but still lags in this area. Mainly, while activities were designed to enhance the importance around subnational integration, the program had mixed success in mobilizing sub-national level engagement (see effectiveness).

Likewise, activities do not include much focus on enhancing inclusivity in the NAP process. The importance of inclusiveness was noted by the TAG (4th meeting 2021), "While the NAPs process is government led, the importance of inclusive mechanisms is central and can increase both demand and innovative solutions. Participation and voices from several groups is important." Efforts and progress were made to enhance the importance of gender (see Gender). Though several Academic institutions and CSOs were engaged (see below), this area could have been expanded much further; in particular,

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[21] (1) formulation of mandate and institutional coordination mechanism, (2) Development of NAP road map and formulation, (3) Climate science and vulnerability and risk assessments to guide decision-making in adaptation, (4) Integrating adaptation into national and subnational development planning and budgeting (5) Developing Implementation strategies, (6) Adopting inclusive approaches and fostering indigenous and community led approaches to NAPs including gender considerations, and (7) Mobilizing finance for NAPs

these organizations would have been a good on themes related to inclusivity (gender, indigenous people, youth etc.). Overall, there remained little to no engagement with the private sector and indigenous groups.

Coherence and compatibility of the NAP-GSP II within the global dialogues on national adaptation planning

The NAP-GSP II program is naturally driving coherence and complementarity through its operational structure. Besides being co-implemented by two key UN organizations operating in the adaptation space (UNDP and UNEP), the NAP-GSP II TAG consisted of several development partners that are also supporting countries globally on NAP development and implementation: including the FAO, UNITAR, GWP, WMO, GIZ, GEF, the LEG, AC, and the UNFCCC Secretariat. This has allowed for the operations of the NAP-GSP to be well aligned and coherent with what emerges from the UNFCCC and LEG (as demonstrated above) and has provided opportunity for coordinated events with FAO, UNITAR, GWP, WMO, and GIZ. The discussions in this group assisted in reviewing the workplan of the programme and making linkages where practical and feasible in support of countries.

The environment within which the NAP-GSP II operated evolved significantly since the programme's launch, and its efforts to coordinate with partners changed accordingly. The discourse on adaptation changed over the years with national adaptation planning gaining more attention in the international climate dialogues, and the field expanded with many development partners supporting the process. The program has done well in adjusting to this changing discourse. Indeed, at its launch, the program was unique in the sense that it was one of the few programs to provide 'easy-access' global support on the NAP process, with other bi- and multi-lateral organizations providing more ad-hoc support on a country-by-country basis. Several partners were identified in the Pro-Doc,[22] with which little coordination was observed in the evaluative evidence (document review). Many ended shortly after programme launch, and some became irrelevant as more relevant opportunities for collaboration emerged.

The programme coordinated its activities with a wide range of partners and has engaged globally as illustrated in Figure 5, which has helped broaden the thematic areas of the NAP GSP II activities. Interviews with other UN agencies and non-UN organizations involved with the NAP GSP confirmed multiple efforts to coordinate. Most collaborative efforts have however been centered within the UN system, and less so in the broader spectrum of development partners.

- UN institutions like the UN World Meteorological Organization (WMO), the Food and Agriculture Organization (FAO), United Nations Institute for Training and Research (UNITAR), and UNHABITAT have contributed extensively and on an ongoing basis to NAP-GSP II regional trainings and in-country work. With WMO significant training was developed and carried out on integrating climate risks in NAPs (responding to Recommendation 2 of the MTR). As detailed in the MTR, UNDP and FAO created the Integrating Agriculture in NAPs (NAP Ag) joint programme, an off-spring of the NAP-GSP, which later fostered a follow up initiative called SCALA programme (Scaling up Climate Ambition on Land Use and Agriculture through NDCs and National Adaptation Plans). In addition, NAP GSP II consistently invited FAO experts to events and made use of FAO tools. UN-Habitat and UNISDR have supported the implementation of all three NAP-GSP II outcomes (one-on-one country support, regional training workshops and knowledge management). The programme also collaborated with the One UN Climate Change Learning Partnership and UNITAR to develop an e-training module on the process to formulate and implement NAPs covering and coordinated with the UN Development

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[22] For example the USAID "Economic of Climate Change Adaptation" program, the Program of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA), the Government of Japan, and internal UNDP/UNEP programs like The LDCF funded "building capacity for LDCs to participate effectively in intergovernmental climate change processes", The "Low-emission capacity building program (LECB)" and the GEF funded Global Support programme for the Preparation of national Communications and Biennial reports.

Group (UNDG)'s joint Mainstreaming, Acceleration and Policy Support (MAPS) on one-on-one country support and knowledge management. Finally, given the challenges identified in the LEG, the UNFCCC initiated a UN4NAPs platform with UNDP and many other agencies which still contributes to be a source of global support to LDCs.

- Beyond the UN System, the programme have coordinated with several networks such as the Global Water Partnership (GWP) to develop training material and presentations on water in the NAPs, the NAP Global Network; Global Adaptation Network (GAN); the Asia-Pacific Adaptation Network (APAN); Africa Adaptation Knowledge Network (AAKNet); and Communities of Practice (CoPs) within the Asia-Pacific Adaptation Network (APAN) and Asia Pacific "Knowledge Sharing Strategies and Platform" (ADAPT). Collaboration and coordination was also initiated with the NDC Partnership and the LDC Group on Climate Change.
- As explained in the MTR, the programme also collaborated with bilateral and regional partners, both at the global and country levels. At global level, the programme worked extensively with the German Society for International Cooperation (GIZ for its initials in German) and the Swedish International Development Cooperation Agency (SIDA) on climate governance, gender, and finance. At the regional level, the programme collaborated with the African Ministerial Conference of the Environment (AMCEN), for example. Responding to the MTR recommendation 2, the project also collaborated with UNCDF through its LoCAL programme, particularly during its 2019 Africa regional training workshop.

A major player in the field during the NAP-GSP II program was the operationalization of the GCF Readiness Window for NAP development. The Pro-Doc notably highlighted the need for building the partnership with the GCF and the NAP-GSP Programme. Indeed, activities related to accessing the fund was integrated in the NAP GSP II work programme, and the GCF has also taken part in NAP-GSP II workshops. Interviews of this terminal evaluation indicate that overall, the programs are coherent as the NAP GSP LDC II focus is on the capacity aspects including for the development of concept notes, proposals, and climate science aspects of the GCF requirements, while the GCF Readiness funding can support more direct implementation. However, some interviews indicate that complementarity between the NAP GSP and the GCF program could have been greater. The two programs build off each other, but there was scope to explore more in terms of distilling lessons, south-south learning, setting standards and establishing coherence, quality assurance and technical support.

Figure 5. NAP-GSP IIs strategy on partnerships to scale-up support to LDCs
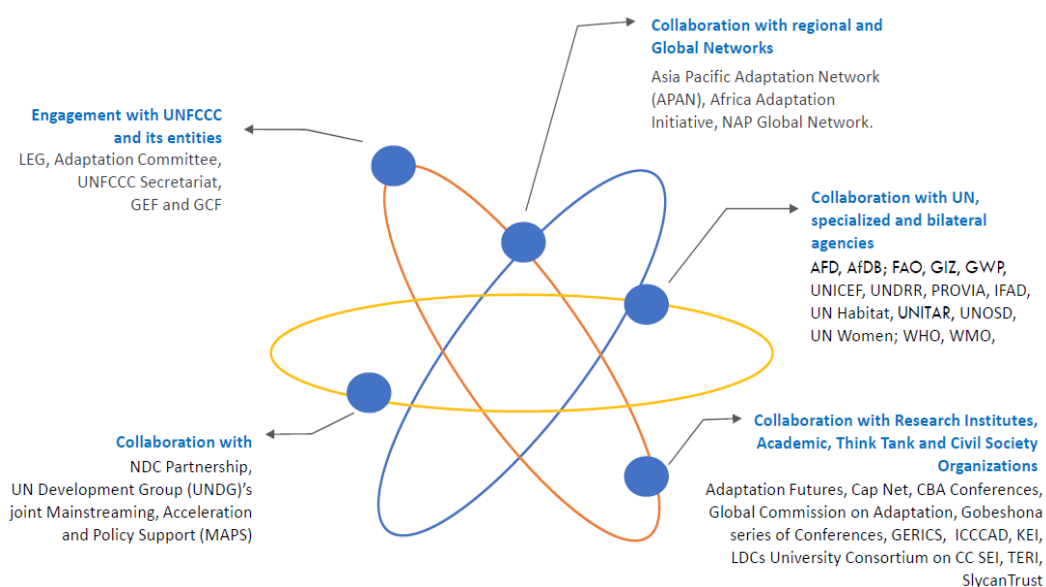
Source: 4th TAG meeting, May 2021

Collaboration with multilateral development banks (MDBs) have been a minor part of the program's coordination efforts. Though the African Development Bank (AfDB) was actively involved with the regional webinar carried out in Africa, interviews confirm that it was not possible to set up collaboration with the Asian Development Bank (ADB) and the World Bank. For the ADB, objectives and the scope of the NAP GSP II did not fit with those of the ADB, as the ADB primarily sought to support investment opportunities as opposed to capacity building. For the World Bank, several discussions were held, but these did not materialize to form any partnerships. Although efforts to coordinate was there, this still left out a gap in establishing coherence with some key adaptation players on NAPs.

Likewise, some collaboration has occurred with research institutes, academics, think tanks, and civil society organizations, while little coordination has taken place with the private sector. Across all three outcomes, the programme has collaborated with the following research institutes, think tanks and CSOs: KEI, SEI, ICCCAD, Global Commission on Adaptation, TERI, Gobeshona series of Conferences, LDCs University Consortium on CC, Adaptation Futures, CBA Conferences, and Sylcan Trust. The project was not initially designed to foster direct partnership with the private sector, and as such this has not been done. However, given the importance of involving the private sector in efforts to scale up adaptation, the NAP-GSP II supported countries in identifying entry points for private sector engagement in the NAP process at national and global levels, including through existing partnerships platforms both within UNDP and beyond.

The role of the NAP GSP II to foster overall coherence in the NAP process, both globally and nationally, should not be underestimated. Beyond its collaborative efforts to implement activities, the NAP-GSP II program have been at the center of adaptation planning discussions influencing the NAP discourse.

- Its close coordination with the LEG keeps it in a key position to foster coherence on the needs and challenges in the LDCs; particularly as an active contributor through the NAP Technical Working Group under the UNFCCC/LEG as noted in some interviews. It was highlighted through interviews that the NAP GSP II played a significant role in assisting and supporting the LEG in having strategic meetings and directly supporting the LDC Group on Climate Change in preparing strong and coherent negotiation positions for the COPs (specifically in 2019).
- Since 2020, the NAP-GSP II was recognized at the UNFCCC as one of the key initiatives for supporting and coordinating the development of a first or initial national adaptation plans in LDCs (see Availability of Outputs); this was a more ambitious outcome than initially envisaged.
- The programme played a significant role in informing and shaping the development of the GCF programme and have as noted earlier helped build capacity for countries to access the fund.
- Lessons from the NAPA process was integrated in the NAP GSP II approach and was also a great effort to seek strategic alignment with the NDC revisions, where adaptation played an increasing role. According to interviews, aligning adaptation planning and NDCs, was a significant gap in countries' capacity. Capacity building on aligning NAPs and NDCs were developed, and the programme commenced coordination with the NDC Partnership, which is a key player in the NDC revisions due to its role as a liaison on technical assistance support to countries.
- At the national level, the programme has established coherence by convening other development partners and agencies to align efforts within the country processes. For example, the NAP GSP II worked with GIZ in Senegal, Tanzania, Cambodia, and Madagascar; with the European Union's Global Climate Change Alliance (GCCA) in Cambodia and Myanmar; and with the United States Agency for International Development (USAID) in Senegal and Cambodia.

Rating for Strategic Relevance: Highly Satisfactory.

B.   Quality of Project Design

Given the bi-modal implementation model of this programme, there are two project documents (ProDocs); one for UNDP and one for UNEP. In addition, on GEF/LDCF project Identification Form (PIF) was prepared. All three documents were consistent in the explanation of the problem statement and design of the project (activities, outputs, outcomes etc.) as well as stakeholders and partners, however some key elements presented in one document were missing in another. As a result, to get a comprehensive assessment of the project design, all three documents have been used for the analysis. It deserves mentioning though that having two separate and slightly inconsistent ProDocs in addition is not efficient and complicates a full project design analysis.

All project documents (ProDocs and PIF) provided a comprehensive and consistent situation analysis, drawing on the context of the additional needs of LDCs versus other developing countries to develop their NAPS – the analysis included the challenges of climate change and capacity to handle climate change impacts, in addition to the barriers that prevents LDCs from sufficiently assessing, planning for, and implementing adaptation. Stakeholders were clearly presented including their relevance to the programme and potential for coordination. Gender groups and civil society organizations were included in the stakeholder analysis, but not indigenous people groups and the private sector, even though all documents (ProDocs and PIF) made frequent mention of the importance of the private sector involvement. Since this is a follow-up project, stakeholders were engaged in the programme design, mostly during phase I and detailed notes were given through UNEP's Prodoc includes an extensive Annex on the stakeholder consultations concluded across LDCs during the PPG phase where discussions were held to identify the specific needs and priorities of the countries; and the PIF describes involvement of CSOs in the PPG phase.

Generally, relevance of the project design has been covered in the project design, but not consistently in the two ProDocs and the PIF. None of the documents describe relevance towards UNEP and UNDP strategies (MTS, PoW, Strategic Plan etc). While the two ProDocs do not describe alignment with LDCF/GEF Focal areas, this relevance is covered clearly in the PIF. A description of the alignment and responsiveness to national priorities and plans is included in the UNEP ProDoc as well as the PIF but lacking from the UNEP ProDoc. In the UNDP ProDoc the section on partnership lays out how the program fits and aligns within the broader environment within which it works. The UNDP ProDoc also gives a detailed description of the alignment and relevance of the NAP process and the program in terms of global and regional frameworks (Sendai Framework, UNFCCC, CBD, UNCCD, CFCS) as well as the SDGs. Given the scope and objective of the NAP GSP II programme, the alignment with the various frameworks is highly important as adaptation efforts in the NAPs cuts across all of these.

A significant flaw of the programme design was the lack of a clear description of pathways of change from project outputs through outcomes and towards impact. Though a theory of change was included in the UNEP ProDoc, it was significantly lacking in clear explanation of the causal pathways from the activities to the impact. In fact, the ToC did not present the outcomes and outputs according to the text in the body of the document. No ToC were presented or described in the UNDP ProDoc or the GEF PIF, and though the description of the outputs and outcomes are clear, the absence of a clear ToC is a significant flaw of the project design as it would have provided a much clearer line of the causal pathways for capacity shifts. In particularly considering the difficulty with which raised capacity is measured.

The operational design (governance, risk management, communications, financial planning) was sound however, the M&E framework was significantly lacking (as further detailed in the section on M&E). Mainly, the results framework did not include outputs, indicators used for outcomes, were mostly output indicators, baselines were not solid, and mid-term targets were not determined. A costed M&E plan was included, and roles and responsibilities for M&E were clear. The project design was clear on its knowledge management strategy and communications efforts, identifying clear lines of communications

for awareness raising, and particularly relying on partners with specialty in knowledge awareness (like APAN, ALM, Global Adaptation Network etc.). A website was already developed (due to phase I, which was kept up to date. The entire nature of the programme components is reliant on the constant dissemination of results and lessons through regional webinars, COP attendance, and one-on-one support to countries. The program technical support unit also included a communications/knowledge management specialist.

Furthermore, as detailed in the MTR, available evidence indicates that the design of the second phase was not informed by a robust assessment of the successes and failures of the first phase. The design of the second phase considered the recommendations provided by a considerable number of LDCs during phase I and some adjustments were made, such as moving from general to targeted training on topics selected by LDCs. The project document also shows that a lesson from the first phase was factored in regarding the scope of the engagement of stakeholders[23]. However, the second phase did not properly factor in the lessons learned identified and the recommendations provided by the independent and technically sound terminal evaluation of the first phase. Indeed, the second phase was designed before the terminal evaluation of the first phase had been finalized - implementation of the second phase started in May 2016 whereas the terminal evaluation of the first phase started in October 2015 and was finalized only in June 2016. This does not follow programme design best practice and compromises the cost-effectiveness of NAP-GSP LDC II. Indeed, the terminal evaluation clearly highlighted the caveat of not having a clear ToC and a sound results framework in the project document of the first phase, which as noted above was also not adequate in the second phase project design. The prodoc of the second phase also assumes that the barriers are mostly the same as in the first phase[24], except for the tailored training. The biggest issue brought from the first phase was that not all LDCs had been supported. However, the design of the second phase should have considered that some barriers may have changed, particularly for components 2 and 3, and for countries that participated in the first phase. This could have potentially implied some further adjustments in the components, outputs and/or activities of the programme, considering the support some countries received in the first phase.

The design of activities in the NAP-GSP II, overall, aligned with the needs to break down the barrier that 'climate-resilient development planning is not currently business-as-usual' and 'climate change impacts are multi-faceted and complex in nature.' The capacity building offered has been directly aligned with the need to break down the barrier of 'Limited Financing' (e.g., through adaptation financing training and training on how to access GCF Readiness funding for NAPs), Insufficient policy guidance (e.g., through multiple guidelines on integrating adaptation planning in broader development planning, integrating gender in adaptation, etc.). Likewise, NAP-GSP II helped decrease the barrier of limited availability of evidence-based methodologies and tools through its training on risk and vulnerability analysis and development and use of climate science scenarios. Products disseminated through component three, knowledge sharing events, attending COPs and south-south learning was designed sufficiently to help lower the barrier on 'limited awareness, communication, and knowledge sharing.' With that said, the program has not yet used its full potential to break the barrier on 'weak horizontal and vertical coordination' as well as 'few political champions'. While horizontal planning has been supported through in-country support, vertical coordination has been much less, and there is little evidence pointing towards the NAP-GSP II having had any influence on developing political champions for climate change adaptation.

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[23] The project document claims that one of the lessons from phase 1 was that "it is essential to not only engage high level leadership from the outset, but also to clarify the roles and responsibilities of each stakeholder, particularly if the support is to be cross-cutting and ensure integration into existing development plans and budgets". Considering this lesson, the second phase clearly defines the scope of the engagement for such stakeholders.
[24] The section on barriers to achieving the preferred solution claims (p. 11, UNDP ProDoc) that "Since the Expanded NAP GSP will be an expansion of the Ongoing NAP GSP, similar barriers underpin the rationales of both LDCF projects".

Rating for Project Design:	Moderately Satisfactory

C.   Nature of the External Context

Several external factors drove the direction of the NAP GSP LDC II, which ultimately affected its activities; though not negatively. Particularly, after the MTR, the dialogue on national adaptation and the slow movement of the development of NAPs in LDCs, picked up significantly at the UNFCCC and within the LEG. It became very clear that LDCs did not have the capacity to develop their NAPs and more support was needed to ensure NAPs were developed and deployed for LDCs to move towards their 2030 agenda. In 2020 after 10 years since the NAP process was established, only 4 LDCs had finalized their NAPs. The LEG agreed on a 2020 vision, which was threefold: (1) All LDCs should have a NAP by the end of 2020, or soon after. The LEG also wants to see concrete measures being implemented to tackle the adverse effects of climate change. (2) LDCs should be further supported in accessing funding as 2020 marks the start of a new delivery cycle on Global Climate Finance, through the GCF, with 50 percent of funding dedicated to adaptation. (3) With only 10 years left at that point before Agenda 2030 comes to an end, adequate support should be provided to LDCs, to allow them to implement more ambitious actions to improve climate resilience and eradicate poverty.

During the 3rd Board meeting in 2019 the program received direction to align its activities with the vision, and the program ultimately redirected funding to ensure more support was provided to more countries for the development of their first NAPs and added significant support to assist countries with accessing the GCF Readiness Window for NAPs. Indeed, as noted in the MTR, it was hard to predict the impact that the entry of the GCF Readiness Window for NAPs would have on the programme, but ultimately, it provided another need to be covered in LDCs. As covered in the LEG Progress reports on NAPs, accessing the GCF programme was difficult and tedious and beyond the capacity of most LDCs; hence the support provided by the NAP GSP LDC II to these efforts.

The programme was also highly affected by the Covid-19 pandemic, which necessitated several adjustments to programme implementation and two additional project extensions as detailed earlier. In 2021, the reality of the Covid-19 situation turned out to be worse than the worst-case projection, and the project team had to adjust the 2020 annual work program (AWP) continuously. Support to the formulation of NAPs (component 1) in some countries was particularly affected, with national consultations delayed and most international consultants not able to travel to countries as planned. Adaptive steps were taken to include greater investment in national experts and the rest of the team in the country. While support to one country (Timor Leste) was completed in Q4 2020 and the country submitted its NAP to the UNFCCC in March 2021, the goal of having a finalized initial NAP in the other countries by end of 2020 shifted to Q3 2021. Under component 2 and 3, the only event that the programme team could attend in person was the Gobeshona Conference which took place in January 2020, in Dhaka Bangladesh. Several events were cancelled, including the NAP Expos, Africa Climate week, 52nd session of the SBI and COP26. The 2021 AWP was developed with a renewed level of COVID-related risks, and yet, with an increasing demand for support in the lead up to COP26. COVID-19 also impacted the project team with team members falling sick or needed to attend to a sick relative.

Despite the challenges, the project adapted well and continued to make strides and provide support to LDCs. The project team had to re-design or reschedule some activities under outcomes 1 and 2 and expanded as well as accelerated activities under outcome 3. Specifically, adaptive measures were implemented as follows:

- Under outcome 1, with travel restrictions still in place, the project continued to provide remote support, through engagement of national consultants with national stakeholders. In CAR, Chad, and Sierra Leone, national validation workshops took place as public gatherings bans were eased in these countries. While still not able to travel, international consultants continued to extensively

engage remotely with national consultants, UNDP country offices, and national stakeholders, guiding them with tools and methods. In the case of Cambodia, remote assistance was provided to updating a NAP proposal for direct access to the GCF by the Ministry of Environment.

- Under outcome 2, the Global South-South exchange for LDCs on NAP initially planned in May 2020 in Bangkok was converted into a digital event organized from 28 June to 1 July 2021. Continuing to compensate for the loss of in-person interaction and the platforms it offers for knowledge brokering, the project team increased its virtual presence and released more knowledge products than initially planned. Additional webinars were held in with the aim to offer a platform for the LDCs to exchange on their NAP journey and the alignment of NAPs with other global and national agendas. The Programme also prepared an E-compendium of all NAP-GSP training materials structured in four modules. A self-paced online training has also been developed. It includes one module on EbA. All products are complete and available online.

- Under outcome 3, the project team used the time provided by the second project extension to finalize knowledge products and disseminate them, including through global platforms such as the UNFCCC COP 26 especially contributing to the "20 years of adaptation in LDCs" event organized by the LDC Expert Group.

Countries remained highly committed during Covid-19 despite the challenges, and managed to find ways where progress could be made. While the project team and international consultants worked remotely and connected virtually with the countries, adjustments within the countries were also made according to restrictions. For example, in South Sudan they solved the problem by changing a big two-day workshop in meetings over a week in smaller groups. For component 1, all plans were completed earlier this year (2023) and submitted to the UNFCCC.

Rating for Nature of the external context: Favourable

D.   Effectiveness

Availability of Outputs

The NAP GSP LDC II was designed with the aim of achieving 5 outputs, on all of which the programme has overachieved. Since the MTR was not able to provide a comprehensive analysis of achievement towards outputs, because the results framework had no mid-term targets, this TE offers a detailed overview of all outputs achieved (See Annex V for a comprehensive table on achievements). Furthermore, it is notable, and as raised in the MTR, that reporting on targets is complicated due to several deficiencies with M&E: (i) the reporting on achievements is done differently between UNDP and UNEP; (ii) reporting is not done by outputs; (iii) indicators are listed under outcomes, but many are output indicators; and (iv) 5 of 7 of the end of programme targets are not consistent with the corresponding indicators. With that being said, the assessment of outputs points towards overachievement of initial programme planning with all activities having been implemented at project closure.

The programme exceeded all its targets determined for output 1.1: "Tailored one-on-one support to LDCs to initiate or advance their NAP process, including but not limited to, support to develop NAP roadmaps. At project closure 28 countries[25] have received one-on-one country support to conduct stocktaking and sensitization activities, in addition to receiving support to integrate climate change adaptation into budgets and plans, formulate NAP roadmaps and work-plans. This surpasses the initial target of 20 countries, primarily due to the request from the LEG vision to provide direct support to additional countries for the direct development of NAPs. Furthermore, the NAP GSP LDC II also undertook appraisal and prioritization of adaptation options through cost-benefit analysis and/or multi-criteria analysis, did foundational work to enable these countries to leverage domestic, GCF, and other sources of finance to further advance the NAP process and implementation:

- 17[26] countries were supported to undertake scoping and prioritizing of NAP activities and accessing the GCF NAP readiness window.
- Cambodia was supported for the approval of their NAP project through their direct access modality.
- 7[27] countries have been supported in the formulation of an initial NAPs.
- 2 countries have been supported in reviewing their NAP (Liberia and Haiti).

All outputs were also achieved under outcome 2. Under Output 2.1 "Training packages – including tools, methods, and guidelines – developed for LDCs to advance their NAP process" all activities have been implemented as planned by the end of project closure. As of June 2021, 3 comprehensive training packages[28] in four languages were developed, which is one more than initially targeted. In addition, this output also yielded: (a) an Open Online Course on Gender and Environment; (b) Guidelines for Integrating Ecosystem-based Adaptation into National Adaptation Plans: Supplement to the UNFCCC NAP Technical Guidelines; and (c) an E-training course on NAPs "Mastering National Adaptation Plans (NAPs) - From Start to Finish. For Output 2.2, "National technicians from LDCs trained on assessing long-term vulnerability to climate change and relevant adaptation options through targeted training workshops" was reached. In all, 276 government technicians/experts from 40 LDCs were trained of which 39% (106) were women, which exceeds the target of 140 technicians and comes close enough to the target of 40 % being women. Notably, when training at the central district level, one must consider that the

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[25] Benin, Bangladesh, Bhutan, Burundi, Cambodia, Chad, Central African Republic (CAR), Democratic Republic of Congo (DRC), Djibouti, Gambia, Guinea, Guinea Bissau, Haiti, Liberia, Madagascar, Mozambique, Myanmar, Nepal, Niger, Senegal, Sierra Leone, Somalia, South Sudan, Tanzania, Timor Leste, Uganda, Vanuatu, and Zambia.
[26] Bangladesh, Benin, Bhutan, Burundi, DRC, Djibouti, Guinea, Guinea Bissau, Haiti, Liberia, Madagascar, Mozambique, Niger, Senegal, Somalia, and Tanzania
[27] Burundi, CAR, Chad, DRC, South Sudan, Sierra Leone, and Timor Leste.
[28] (i) Keeping the Taps Running in a Changing Climate - Mainstreaming Climate Change Adaptation into Water Resources; (ii) Making the Right Choices - Prioritizing Adaptation Options; (iii) Finding the Money - financing climate action.

participation rate of women often corresponds to the rate of women that work in central government, which often is not very high. Therefore, 39% is a good rate. Notably, the original target for training was to reach all 47 LDCs, which was not achieved; however, UNEP reached out to all then 47 LDCs for nominations for the training, and followed up on subsequent attempts to enhance inclusion. No participation from countries was linked to no nominations from those countries.

Achievements on outputs 3.1[29] and 3.2[30] is difficult to assess due to a lack of indicators on actual targets for the activities of the outputs (see section on M&E). The evaluative evidence points towards achievement of the output with activities being completed. It is observed that several knowledge products were produced to help disseminate and share lessons learned. Amongst these, 21 LDCs were featured in 'NAP in focus' Country Case Studies, which exceeded the one established target of 10 case studies. In addition, supplementary guidelines to the LEG NAP Technical guidelines on integrating EbA into NAPs were developed; An e-compendium that assembles and synthesizes all NAP-GSP LDC II training materials and related e-modules was set up; 20 News Articles, a series of stocktaking reports, two policy briefs, and five regional briefings were developed and have been shared broadly. However, it is difficult to say whether "70 percent of the participants in the online thematic discussions, web-based trainings and webinars report interest and/or uptake of lessons learned, and best practices shared," per the indicator. Though the survey distributed at programme closure showed 73 percent reported interest and/or raised uptake of lessons learned and best practices, the response rate was low at only 9% (40 from 19 LDCs) of respondents. Furthermore, the measures deployed to ensure the sustainability of the programme (section Sustainability) as well as the broader impact of the programme indicates an exit strategy is in place that sustains knowledge and partnerships. Two closing events were organized respectively for Anglophone and Francophone LDCs, which aimed to celebrate the achievements, reflect on the lessons learned and discuss opportunities to continue to advance adaptation planning in NAP-GSP supported countries beyond programme closure. The [website] also remains as a knowledge portal with all the data, information, guidelines, webinars etc. generated. At project closure it received about 1,380 unique visitors on average a month. The partnerships build remain, and some work will continue to be carried out under existing coordination efforts within UNDP and UNEP as well as with partners (GIZ and others).

Achievement of Project Objective and Outcomes

The level to which the institutional and technical capacity of countries have been enhanced to advance their NAP process is, in practice, difficult to measure. This was already highlighted in the MTR, which stated the lack of a clear baseline on which the programme could measure its progress. As noted, the ProDoc indicated that a capacity scorecard/radar would be constructed for each country to measure how institutional and technical capacity has changed between the beginning of the programme interventions to the end of programme intervention period. These were not developed at project commencement, nor at the behest of the MTR recommendation 5. Time and resource to develop such capacity scorecards was one challenge noted by project management. However, the main challenge would have been the need for having the same people attend all the trainings to get the same people's perspective at the end of the programme. This is not necessarily the case as the institutional and technical capacities of countries should not be based on the individual raised capacity, but rather on how this capacity building of many specialists permeates the broader institutional set-up; mainly it is only visible through deeper and longer-term planning for climate change adaptation. As such, another caveat in assessing raised capacity is that it may take many years to become visible at the broader institutional level.

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[29] "Information from North and South experiences, good practices, and lessons of relevance to medium- to long-term national, sectoral, and local planning and budgeting processes are captured, synthesised, and made available to all LDCs,"
[30] Develop exit strategy for knowledge sharing and sustaining North-South, South-South, and an extended network of partners' cooperation.

That said, pre- and post-survey training assessments were deployed for some trainings to assess the level at which beneficiaries' capacities had been raised. A review of these indicated that at each training participants' capacities generally rose across a set of different questions/indicators with regards to understanding the subject matter of each individual training. While this is a good indicator on immediate raised capacity, it does not indicate the potential for the long-term institutional capacity noted above. That is, whether this capacity is retained or not, and more importantly, if it is deployed in national adaptation planning processes in LDCs. The findings under the three outcomes show some clear indications, though, that the programme indeed has been able to help raise overall long-term capacity in the LDCs that received support or took part in training and knowledge sharing.

The outputs achieved under Outcome 1 indicate that capacity has been raised in the target countries. According to the few survey respondents for the terminal evaluation survey, outcome 1 activities (one-on-one country support), were the greatest contributor to building capacity. It is without a doubt that countries long-term adaptation planning process have been advanced judging on the overachievement in Output 1.1 where multiple countries have prioritized adaptation measures and laid out their roadmaps for adaptation planning and completed/submitted their NAPs. According to interviews with country stakeholders, many of these achievements would not have been made without the NAP GSP LDC II. Indeed, the programme one-on-one support helped raise the profile of adaptation planning within the countries, and in some countries, advanced additional longer-terms support. Beyond the development of NAPs and roadmaps, 17 LDCs have been supported to write proposals and access GCF readiness funding, and the programme has thereby provided support to catalyse additional funding through the GCF and thus supported countries' long-term, national adaptation planning processes; also as noted by the management team in the response to the MTR, most proposals countries formulate with the support of UNDP and UN Environment further include a dedicated outcome to develop a financing strategy to ensure investments from all sources (domestic, international, public, private) are catalysed for adaptation (responding to Recommendation 3 of the MTR).

The desk review and interviews reveal that the quality of the one-on-one support was high with the support tailored to the demand from each country; however, engagement and the capacity raised through the support vary depending on the country. Respondents to the end-of-programme survey noted that NAP GSP LDC II helped countries advance their NAP process by increasing capacity on NAPs and developing relevant policies and strategies. Several participants indicated that their governments have advanced the NAP process thanks to the programme and adopted more efficient approaches to revising and developing NDCs and NAPs. Processes were country-driven, indicating country ownership, with the countries in the driver's seat on submitting requests and coordinating the internal country process with UNDP guidance; this is also an indicator on support that help advance countries capacity to undertake such processes on their own in the future. However, some interviews noted that the level of engagement was more challenging in some of the poorest LDCs where capacity is particularly low (e.g., Timor Leste, CAR, and South Sudan); though the support yielded results, the engagement was according to interviews limited and capacity was only raised in the short-term during the engagement period. Also, some country stakeholders noted that awareness of the programme was low within the programme, and more could have been done to increase overall programme awareness and engage more stakeholders. Furthermore, some survey respondents to the end-of-programme survey also noted that the NAP GSP LDC II support was not sufficient and indicated such barriers as slow turnaround from the programme management (see Quality of programme management and stakeholder engagement).

Capacity was also enhanced through outcome 2, where much training was focused on providing the tools that support the NAP process. Interviews with country stakeholders show appreciations for the training and tools developed, and the few respondents for the terminal evaluation survey all noted that they still use the capacities that they have gained through the program indicating some level of sustainability through programme implementation. Most respondents (75%; n30) to the end-of-the-

programme survey answered that they have increased understanding of the NAP process and that they are familiar with the tools and methods available to advance the NAP process (78%; n31) because of the NAP-GSP LDC II in-person training workshops. The MTR found some shortfalls under component 2 with regards to provide meaningful, and not just accessible training; particularly when it comes to more deep training and provision of tools on such difficult topics as climate risks assessments, adaptation rationale, and other selected targeted topics. These gaps seem to have been closed since the MTR with the addition on sector-specific training (on agriculture and eco-system-based adaptation), training on science and climate risk assessment, integrating gender, and aligning NDCs and NAPs. Particularly under outcome 2, the climate impact tool launched in collaboration with WMO (responding to recommendation 4 of the MTR) is noted in interviews as highly beneficial. Some countries, (Haiti) gave specific examples of the tools having been used for the formulation of Haiti's NAP, with a lot of material in the NAP coming from that tool. This is further corroborated by the end-of-programme survey where 70% of respondents indicated that they have been able to apply the knowledge they have gained in their work, which is key to really assessing whether long-term capacity has been built. Putting theory into practice tends to breed broader and more sustained results.

As earlier noted, the programme did well in adapting component 2 to achieve similar results during the Covid-19 pandemic. However, it is uncertain if the achievements would have been greater through in-person events. Certainly, the program was able to reach more beneficiaries through the virtual events, as noted above, but this virtual space also provided some challenges. Issues were raised with regards to internet connection, which was a common problem preventing effective participation in the webinars, and on some occasions, there was not enough time allocated for questions and answers section. These issues have been common across the world in terms of virtual training and conferences during the pandemic, and there is a common understanding that even if the virtual environment is more efficient (in terms of cost saving and the ability to bring more people in to the event), it has pitfalls in terms of ensuring deep engagement and learning.

The extent to which the programme was able to integrate subnational participation remained limited throughout the programme lifetime, but with some adjustments after the MTR. While the programme did not adjust activities according to the plans in the management response to MTR recommendation 1 (to nominate sub-national representatives at all regional events), engagement to gauge sub-national priorities was integrated to some extent. Long-term visions and planning from national to sub-national levels was deployed through training modules on vertical integration, which was included in the regional training workshops. A webinar series (four on all) on vertical integration was also conducted in 2019. Interviews confirmed that though representatives of subnational ministry and sectoral ministry levels of government participated in training and consultations, it has not been possible for the program to integrate district level actors in training. It is notable, though that efforts were made to ensure this inclusion in training events, and in some instances, it succeeded, e.g., in Bhutan, the program was able to involve city-level officials in the training. Vertical and horizontal integrations was more integrated at the country-level through component 1, where sub-national stakeholders were involved in consultations; this was confirmed in for example South Sudan, Cambodia, and Timor Leste. As such, the programme was able to partially respond to MTR recommendation 3.

Building capacity goes deeper than simply the provision of tools, training, and hand-holding on NAP processes. Given the similarities in barriers that LDCs face on the NAP process, south-south learning and sharing of knowledge is of extreme importance. Not only does this allow stakeholders to share their own lessons learned, which is a capacity building exercise in and of its own, but it also allows countries to learn from each other's processes. The NAP GSP LDC II program has provided ample opportunity for knowledge sharing through in-person and virtual events as illustrated under Output 3.1 and 3.2. Furthermore, lessons learned have been captured from several of the participating countries, and the information remains available online and accessible through the NAP-GSP sub-site that sits within the

UNDP Adaptation Portal. Knowledge products have also been shared on partner websites, including the LEG NAP Central, LDC Group on Climate Change, UNESCAP, SDG website, ReliefWeb, UNDP Adaptation and UNITAR website. At the end of project closure dissemination and outreach a took place in Glasgow at COP26 to capitalize on all the results of the programme. This indicates some level of sustained knowledge and sharing of lessons learned.

The programme's communications plan has played a key role in ensuring the achievement of outcome 3. The NAP GSP LDC II communications team continued to scale up its portfolio of activities around knowledge management and dissemination as means to ensuring sustainability of the project outcomes beyond the lifespan of the programme, as well as to reaching those LDCs not covered through direct technical assistance. Furthermore, knowledge and lessons from individual countries have also been captured in a series of filmed interviews as part of the regional training workshops and are available on the NAP-GSP YouTube channel and social media accounts (Twitter, YouTube, SlideShare, Flickr, Adobe Spark).

As part of the project's exit strategy, the programme planned to "coordinate with and build on the platform for public- private partnerships (PPPs) established through the SCCF NAP GSP "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)" to provide technical expertise to identify entry points for engagement of private sector in adaptation technologies/businesses." This was a clear entry point to connect the process to the private sector. However, there is no indication that this has been done, and as earlier noted (Relevance), the programme has generally not engaged the private sector or provided any focus on private sector engagement and financing for adaptation. Interviews and discussions with the Programme Management Team shed some lights on this aspect where challenges were mainly related to the fact that the time was not right, yet. The private sector is minimally involved in adaptation,[31] and barriers to investments to private sector engagement is largely related to several barriers; one of which being that adaptation is not yet a money maker, projects are engaged in risky markets with poor governance and thus sees as high risk. In addition, adaptation projects also suffer from their very differentiated nature as opposed to mitigation projects, which have more cookie cutter investment models and business plans. Despite these challenges, the current international dialogues on private finance for climate change overall, offers ample opportunity for enhancing capacity and knowledge on this subject moving forward and building the necessary capacity to enhance private sector engagement in the next stage of the NAP planning process.

The Programme's ability to help break down the barriers as determined in the ProDoc and presented in the reconstructed ToC, has been mixed. Per the few respondents to the survey administered for the TE, the NAP GSP LDC II did well across most barriers (Figure 6), but there is particularly broad agreement on those related to capacity and awareness: "Climate resilient development planning not integrated with national development planning", "Limited Awareness, communications, and knowledge sharing"; and "Limited financing and capacities for key public institutions". These three barriers being affected by all three outcomes; for example, through the enhanced knowledge overall on the NAP Planning Process, access to GCF financing, aligning NAPs with development plans and NDCs, one-on-one country support to develop NAPs, stocktaking etc, the extensive global and regional training provided as well as sharing of lessons and experiences amongst countries. Barriers related to availability of resources and tools seem to also have been partly broken down along with the barrier on "weak cross -sectoral (horizontal) and national (vertical) coordination, which shows that some of the efforts made on sub-national and sectoral integration have succeeded. The barrier that there are 'few political champions in government for the NAP process' remains unbroken; however, there were no real activities in the programme design to break this barrier. Some barriers noted by survey respondents, which were not addressed included the

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[31] As little as 1.6 percent of climate change adaptation funding is private sector investment. (World Bank, 2022; https://openknowledge.worldbank.org/server/api/core/bitstreams/127de8c7-d367-59ac-9e54-27ee52c744aa/content)

persistence of weak governance in LDCs to handle the NAP process, and the need for collaboration with other planning processes such as disaster risk reduction. These are valid barriers that may play a significant role in any future NAP Planning processes. The evaluation team recognizes, however, that while respondents to the survey noted these barriers as not addressed, some of the activities carried out by the NAP GSP programme, were indeed, relevant to help break down such barriers. For example, the work provided to develop funding proposals, which ultimately got funded.

Figure 6. Ability of NAP GSP LDC II to break down barriers.
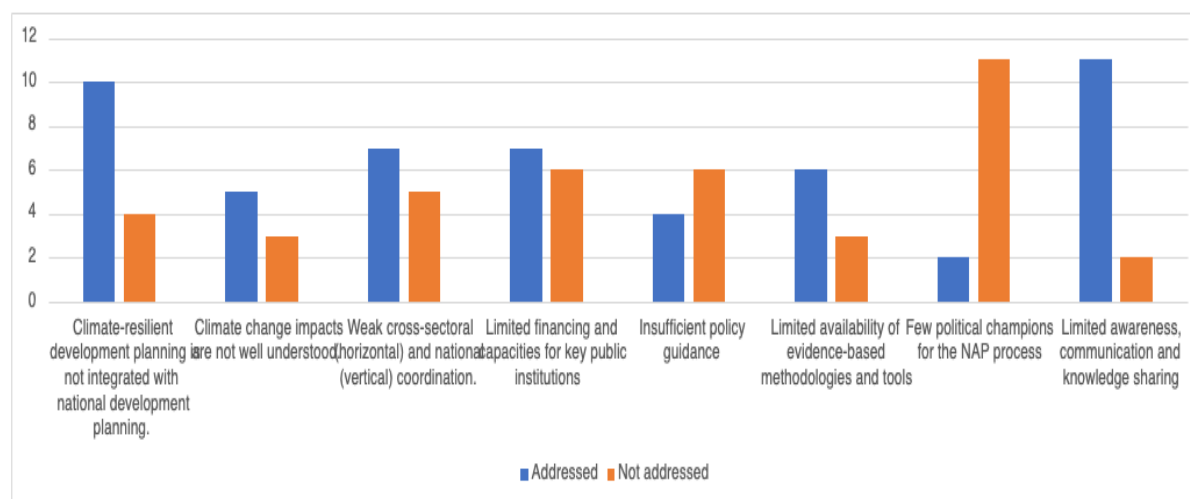
Source: Terminal Evaluation Survey

Likelihood of Impact

The real impact of the programme should be measured in its ability to influence the wider dialogues on adaptation. The programme has been instrumental in advancing the international discourse on NAPs during a period that saw dynamic changes in the international climate policy landscape with the introduction of NDCs, emergence of GCF and a readiness window for NAPs within it, etc. The NAP GSP worked closely with the LEG ensuring that it remains fit for purpose in this dynamic period. As already detailed in the MTR, the NAP-GSP LDC II contributed to moving the NAP agenda. NAP-GSP's own governance structure and the workshops organized by the programme have increased the number of interactions between institutions and individuals working on NAPs, and contributed to building communities of NAP practitioners at global and regional levels that are key to share knowledge and for advocacy. On one hand, the programme has positioned itself as an intermediary between UNFCCC and parties regarding NAP, bringing questions arising from national implementation to the regional and global levels and bringing global guidelines to the national level. On the other hand, NAP-GSP LDC II also contributed to increase the resources for NAPs, favouring the design and approval of NAP Ag and NAP-GSP non LDCs and contributing to the operationalization of the GCF NAP Readiness window. While this window is not a direct delivery of the programme, to a great extent this is a consequence of the political push and advocacy promoted by the programme through its participants.

At the country level, where one-on-one country support have been provided, the likelihood of impact is embodied in the countries abilities to advance their NAP planning process beyond the NAP document stage; that is into budgeting and financing for NAP activities both horizontally and vertically. That 17 countries have been supported to develop GCF proposals for the GCF Readiness window is one step in the direction of broader impact. Moreover, UNEP provided support to 12 more LDCs for NAP project proposal development of which 8 got approved during the operational timeline of the project (see also Efficiency **of Co-financing**). Interviews with global stakeholder suggest that in countries where NAPs have been completed, the entire process have become more tangible with a clearer plan for implementation, even if financing is not secured. This should not be underestimated, as the NAPs are one of the entry

points within a country for climate action; any additional climate action will be able to build further on these NAPs. Furthermore, the activities carried out in the latter part of the programme implementation to align NAPs with the wider development process in the countries (SDGs and NDCs), shows a broader impact on countries' overall development agenda. However, while the support has moved the countries towards impact, there is still a wide gap in terms of transforming the plans into actual action on the ground, which would require much stronger support on Governance and clear budget planning as well as resource mobilization for implementation, which was not covered under the NAP GSP LDC II.

Finally, even at project closure, true impact is difficult to measure, but impact is assessed as being likely. It is, for example, not possible to distinguish yet the potential transformational impact in terms of capacity and adaptation on the ground this programme may have initiated. This has to do with the nature of the programme, which focuses on upstream policy work, but also in part with the limited work with the sub-national and sectoral levels, as well as the private sector, and the time lag that is necessary for the effects of this type of global programs to show results on the ground.

Rating for Effectiveness:	Highly Satisfactory

E. Financial Management

Completeness of Financial Information

The evaluation team depended on the financial information provided by the programme management team, which was complete in terms of expenditures and the adjusted budget according to the yearly revised work plans. Evidence regarding co-financing was also provided (see Efficiency of Co-financing).

The evaluation team received financial information separately from UNDP and UNEP as each of the implementing agencies was responsible to track and record its own financial expenditure. UNDP provided both its expenditures (on a quarterly basis) and the planned budget; both as per the project document and as revised in the yearly work programmes. A small discrepancy was found regarding the total amount of expenditures, which related to the programme management costs in the year 2021. More precisely, the sum of the programme management cost reported during the four quarters was not equal to the total amount of programme management cost in 2021.[32]

 UNEP provided its yearly expenditures (on a quarterly basis) and the planned budget as revised in the yearly work programmes. The planned budget as per the ProDoc was retrieved from the ProDoc itself. UNEP also provided information on why the co-financing source as planned in the ProDoc did not take place and provided additional information regarding other co-financing activities. UNDP in its turn provided evidence regarding the three co-financing sources identified in the ProDoc (see Efficiency of Co-financing).

Progamme expenditure alignment with ProDoc and work plan budgets

As of December 2022,[33] the programme had spent USD 5 959 835, which represents a burn rate of 96% of the total resources allocated in the project document (or 94% of the revised budget according to the annual workplans). The total programme expenditure is therefore in line with the approved budget. This, however, happened against a background of a programme duration which doubled in time. The NAP GSP

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[32] Sum of quarters of programme management costs was -38 946,2 while the total reported cost was -20 480,85. The total expenditures of UNDP either amount to USD 3 644 776,35 (using the total programme management cost for 2021) or USD 3 626 311 (using the programme management costs reported per quarter of 2021). The evaluation team used the second option as it is based on more detailed information.

[33] Although the project closure date was December 2021, knowledge sharing activities continued in 2022. The evaluation team received financial information up to the fourth quarter of 2022.

LDC II was planned as a 36-month programme with an original expected completion date in August 2019. By this time the programme had only spent 49% of its planned budget (see Figure 7 and

Table 5).[34] After the 3rd extension, the revised operational completion date was December 2021, yet with dissemination and outreach activities to continue up to the second quarter of 2022. Thus, the actual operational closure date was November 2022. Despite this prolonged duration, the actual expenditures managed to stay in line with the approved budget for the following four reasons: (i) the low expenditures during the first two years of NAP GSP LDC II, (ii) the lower-than-expected expenditures during 2019 - 2021, (iii) a shift of expenditures from outcome 1 and 2 to outcome 3 and (iv) low expenditures regarding programme management cost during the last two years and regarding monitoring and evaluation.

The low rate of expenditures during the first two years can be explained by the long inception phase of the programme: the NAP GSP LDC II commenced operations 5 months later than planned mainly due to delays in UNEP's internal approval process of the programme (see 0 Timeliness). Especially UNEP experienced a very slow upstart, with a burn rate of 0% (2016) and 11 percent (2017) against the ProDoc budget compared to the slightly higher rates of UNDP, namely 15% (2016) and 66% (2017).

Figure 7 clearly indicates expenditures lower than the respective budgets of the revised workplans for 2019, 2020, and 2021. In the year 2019, the low expenditure rate (72% of revised workplan) can be explained because of a large amount of support received by partners which attended and co-hosted some of the regional workshops, thereby greatly decreasing the cost of the events under outcome 2 (see also Cost-effectiveness). More precisely, only 39% of the planned budget for outcome 2 (as per the revised workplan) was spent that year. Regarding the years 2020 and 2021, the lower-than-expected expenditure can be explained by the global covid-19 pandemic, which required multiple and constant revisions of the workplan (see Nature of the External Context).

Figure 7: Annual actual expenditures vs planned budget (USD)
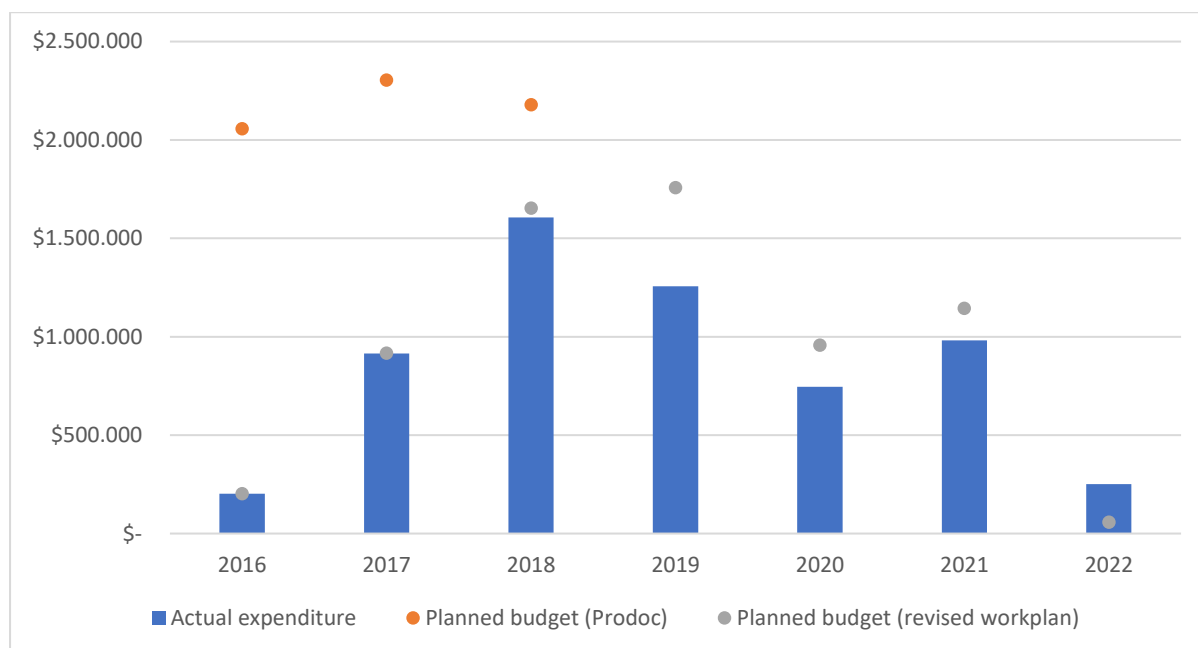
Table 5 - Annual actual expenditure and planned budget (USD)

Component	2016	2017	2018	2019	2020	2021	2022
Outcome 1	176 034	725 635	794 984	555 732	402 567	473 545	61 218
Outcome 2	0	65 491	706 662	319 517	233 891	327 886	0
Outcome 3	10 978	25 010	47 887	319 344	43 719	149 398	204 996
Monitoring and evaluation	0	0	0	0	0	28 000	0
Project Management	15 551	99 320	56 543	62 644	65 571	3 174	-15 465
Total actual expenditure	202 563	915 455	1 606 075	1 257 238	745 749	982 003	250 752
Estimated cost (ProDoc)	2 089 105	2 099 260	2 011 635	/	/	/	/
Estimate cost (Yearly work program)	202 563	916 420	1 653 962	1 757 817	957 697	1 144 982	57 156
Expenditure ratio against revised budget (Prodoc)	100% (10%)	100% (44%)	97% (80%)	72%	78%	86%	439%

Source: Information provided by the programme management unit. This table excludes co-financing.

The third reason is related to the expenditure per outcome. When looking at the planned and actual expenditure per outcome (see Figure 8 and Table 6), Outcome 1 is clearly most aligned with its planned budget. Outcome 2 on the other hand remained under its planned budget (86% against the ProDoc) while outcome 3 went over its planned budget (133% against the ProDoc). This shift can be explained due to:

- The global COVID-related travel restrictions led to some delays forcing the TSU to re-design or reschedule some activities under outcomes 1 (managed by UNDP) and 2 (managed by UNEP). This led to savings from forgone travels and efficiency gains through coordination and partnerships (see also Nature of the External Context). These savings were applied to further enhancing knowledge sharing and dissemination of forthcoming NAPs and other publications which meant the activities under outcome 3 were expanded (jointly managed by UNDP and UNEP). This is well noted in the PIRs. It is however remarkable that this planned shift was not well translated in the revised workplans which budgeted less for outcome 3 than indicated in the ProDoc.

- The decision to shift budgets between outcomes also fitted in the objective to provide support for LDCs when preparing for COP26 (see also Timeliness). This meant a reinforcement of the activities under outcome 3.

The last reason relates to the programme management cost and cost for monitoring and evaluation. The programme management cost (97%) remained under its budget cap as per the project document. This required creativity as the programme duration was doubled but the budget cap was not increased (and remained at 4,8% of the total budget). During the last two years, 2021 - 2020, a remarkably low or even negative project management cost was reported (see

Table 5). That is, UNDP reported project management costs in the negative for both 2021 and 2022.[35] Since the multiple extensions of the NAP GSP LDC II did not increase the budget for the project management cost, the programme management team was restricted by a budget cap which was set for a program with a three-year implementation duration. Therefore, the unit provided services to other global programmes with which the NAP GSP LDC II partnered, such as NAP AG and its follow up initiative SCALA and also Climate Promise (see Coherence **and compatibility of the NAP-GSP II within the global dialogues on national adaptation planning** and Cost-effectiveness).[36] The services are reported as a negative cost (or revenue). This approach allowed the TSU to continue working on the NAP GSP LDC II while keeping the project management cost below their set budget cap. The cost for monitoring and evaluation remained under its planned budget (29%), yet it is currently unclear whether the cost of the terminal evaluation was already considered in the financial information shared with the evaluation team.

Figure 8: Actual expenditures and planned budget per component (USD)
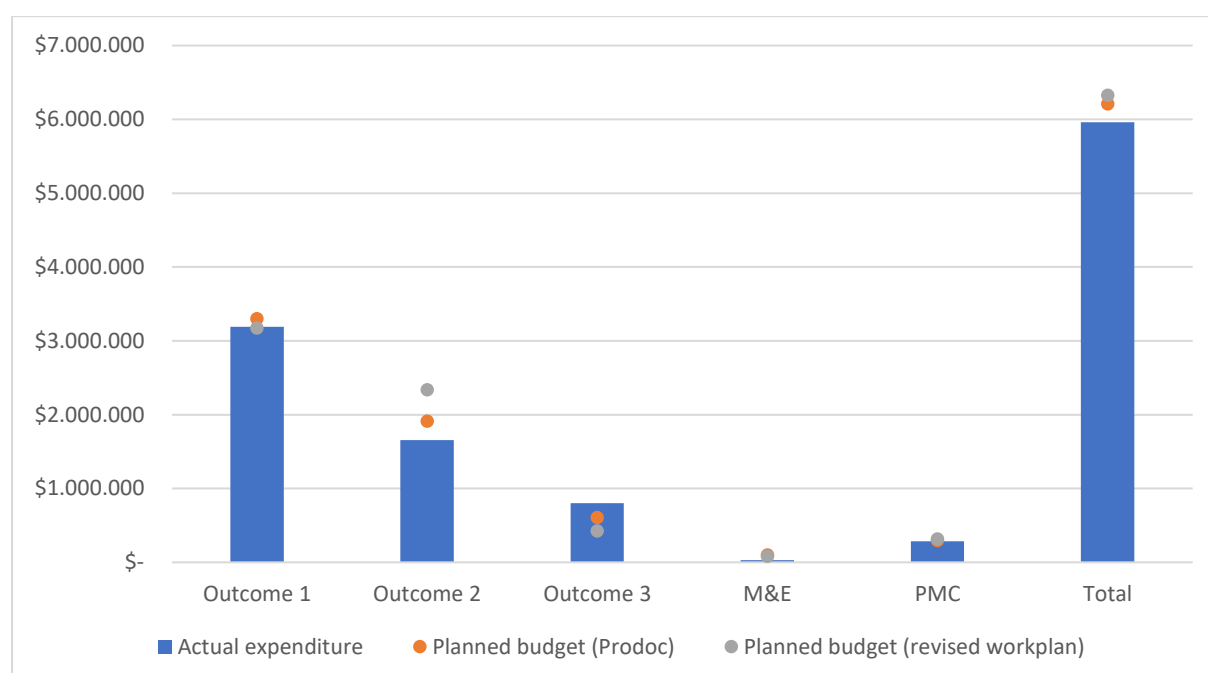
Table 6 - Actual expenditures and planned budget per component (USD)

Component	Estimated cost (ProDoc)	Estimated (Annual workplan)	Actual expenditure	Expenditure ratio against revised budget (Prodoc)
Outcome 1	3 300 000	3 171 250	3 189 716	101% (97%)
Outcome 2	1 912 000	2 334 302	1 653 446	71% (86%)
Outcome 3	604 762	424 576	801 332	189% (133%)
Monitoring & evaluation	97 000	80 000	28 000	35% (29%)
Project Management	295 238	315 779	287 342	91% (97%)
Total	**6 209 000**	**6 325 907**	**5 959 835**	**94% (96%)**

Source: Information provided by the programme management unit. This table excludes co-financing.

Efficiency of Co-financing

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[35] When looking per implementing agency, UNDP spend USD 178 997 or 89,5% of its project management budget, while UNEP spend USD 108 345 and exceeded its budget (114%).
[36] It has to be noted that this approach was already used, especially regarding NAP-Ag (see Cost-effectiveness). However, in early years this was reported as a lower expenditure and not a revenue.

Co-financing sources are based on evidence provided by the project team and summarized in Table 7. Given the delays in the start-up of the NAP GSP II project, some of the co-financing is not applicable as co-financing. I.e. the GEF definition of co-financing is "financing that is additional to GEF project financing, and that supports the implementation of a GEF financed project or program and the achievements of its objectives." This means, co-financing needs to be operational during the project implementation stage. While some co-financing may have supported the first phase of the NAP-GSP, it cannot be considered under the NAP-GSP II if the projects ended in or prior to 2016. As such, the evaluation team assesses that overall co-financing that was applicable for achieving the program objectives amounts to USD 48 084 894.

Some additional information is needed to understand the co-financing sources and the way they were mobilized:

- UNDP provided evidence in the form of two signed ProDocs of the BMUB and PRRP projects which were identified in the Prodoc as co-financing sources. These projects touch respectively on the integration of agricultural sectors into NAPs and on support to build the national and regional risk governance of Pacific Island countries. While the PRPP included support to one LDC (Solomon Islands), the BMUB provided support to 3 LDCs (Nepal, Uganda, and Zambia) out of a total of 8 countries covered. Both projects were implemented during the project's operational lifetime. No explanation was provided on the difference between the estimated amount (Prodoc) and the actual amount (see Table 7).

- UNDP's Strategic Initiative to Strengthen National Capacities in LDCs was implemented from 2010 until 2016. The signed ProDoc was not shared with the evaluation team, however it was stated that the relevant unit has confirmed the amount of co-financing as provided by the project team. No explanation was provided on the difference between the estimated amount (Prodoc) and the actual amount (see Table 7). Given the delay in the NAP GSP II, this co-financing is not considered relevant during implementation.

- UNEP's co-financing source as planned in the Prodoc was the Adaptation Mitigation Readiness Project which was implemented between 2014 - 2016. Due to the delays in the start-up of this project this co-financing could not be mobilized.

- Given the additional financing mobilized, the program raised significant capital as co-financing during the project implementation phase. The project development support directed to Mauritania, Malawi, Uganda, Lesotho, Sao Tome and Principe, Nepal, Rwanda, and Laos contributed to the approval of six GCF readiness projects and two LDCF projects in the respective countries. The total amount of finance which was mobilized through the eight approved projects was USD 20 889 320. Moreover, the UNEP team also contributed to project development for South Sudan, Eritrea, Gambia, and Angola for which the process is still in the pre-approval phase. The estimated amount of co-financing was USD 504 000 based on the working hours of the UNEP staff.[37]

- There are many more partners that the programme benefitted from and vice versa (see Coherence **and compatibility of the NAP-GSP II within the global dialogues on national adaptation planning**, Efficiency of partnerships and Cost-effectiveness). These partners are not all mentioned here as the value of the co-financing was not always accounted for. The collaboration for the organization of a regional workshop with South-Korea can serve as an example (see also Cost-effectiveness).

In general, it can be assessed that the project satisfied the need for co-financing. However, it is the assessment of the evaluators, that the co-financing could have been tracked more clearly in the annual

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[37] Thirty days per country at a rate of USD 1000 a day and an additional USD 12 000 of consultancy support.

PIRs. In particular considering the many partners that were involved in the programme, which also could be seen as co-financers.

Table 7: Co-financing (USD)

Component	Type	Estimated amount (Prodoc)	Actual amount (Project team)	Actual amount (Evaluation team)
BMUB – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (Agricultural NAPs)	Grant	4 000 000	12 391 574	12 391 574
Australian Government – Pacific Risk Resilience Programme (PRRP)	Grant	4 000 000	14 300 000	14 300 000
Danish Government/UNEP DTU – Adaptation Mitigation Readiness Project (ADMIRE)	Grant	800 000	0	0
UNDP – Strategic Initiative to Address Climate Change in Least Developed Countries (aka Boots Programme)	Grant	4 900 000	5 600 000	0
UNEP - Support for project development	In-kind	/	504 000	504 000
NAP projects approved in LDCs between the project's operational lifetime	In-Kind	/	20 889 320	20 889 320
Total		**13 700 000**	**53 684 894**	**48 084 894**

Source: Project document.

Rating for Financial Management: **Satisfactory**

F.   Efficiency

Quality of programme management and stakeholder engagement

The programme management unit was well structured and organized, which enabled it to efficiently respond to the needs of a global program. According to the interviews with country stakeholders, the programme management unit, consisting of both UNDP and UNEP, functioned very well. In the survey conducted for this evaluation most of the respondents also indicated that the joint implementation of the NAP GSP LDC II by UNEP and UNDP had a positive effect on project implementation; not a single respondent indicated a negative impact because of the dual implementation model (see Figure 9).

Figure 9: The extent to which survey respondents indicated a positive, neutral, or negative impact of the joint implementation of UNDP and UNEP
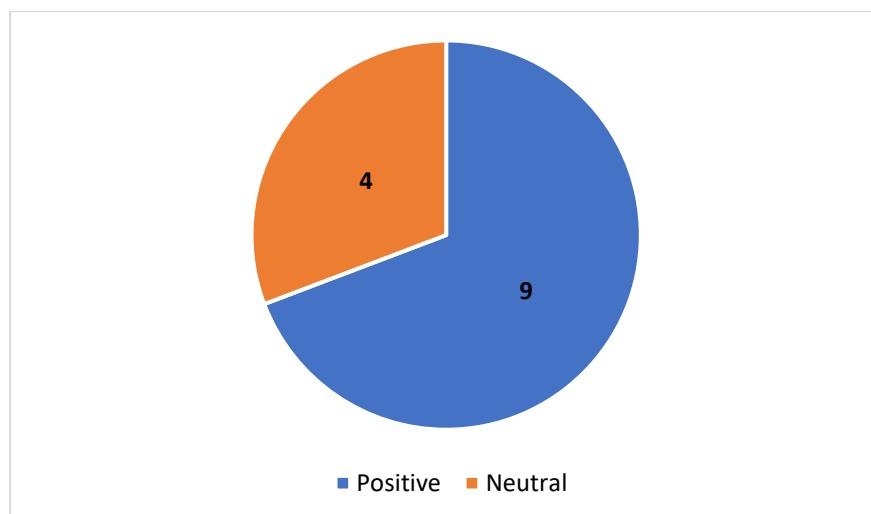
Interviews corroborated this data as most country stakeholders as well as partners explained that each of the two UN agencies brought their strengths to the table. Coordination and collaboration happened against a clearly defined framework, where the tasks and responsibilities of the two agencies was well aligned with their strengths. That is, the design of the joint implementation model considered the comparative advantages of both Agencies compared to one another:

- UNDP's direct relations with countries through the UNDP country offices, was the better placed agency to deliver one-on-one training and support (Outcome 1).

- UNEP's strong track-record in translating scientific research into information for decision makers, was the better placed agency to deliver the regional trainings (Outcome 2).

During implementation this meant that each respective Agencies could use and involve their network, know-how, and stakeholders for the benefit of the NAP GSP. It did consequently mean though that UNDP most often was perceived as the lead agency of NAP GSP LDC II by countries due to its direct contact within the LDCs. It was reported (on a single occasion) that the NAP-GSP LDC II could have a slow turnaround, as the link between countries and the programme management unit was long. It was no specified whether the slow turnaround was directly attributable to the programme management unit or the respective country office.

Another risk connected to the joint implementation models was the potential for fragmented implementation. For the NAP GSP LDC II this was not perceived as a risk since both executing agencies, UNDP BRH and UNEP ROAP, are based in the UN Office in Bangkok. This meant that the programme management unit staff from both UNEP and UNDP were working together in the same physical space, allowing interactions daily. The interviewees confirmed a positive effect for the well-functioning of the programme management unit. The fact that the same persons remained within the unit during the whole programme lifetime is conceded as an additional benefit for the functioning of the team.

Interviews generally confirmed good leadership of the NAP GSP LDC II with a programme management unit that portrayed clear and open communication and generally efficient implementation. Besides, and as mentioned in the MTR, the programme has a strong focus on knowledge sharing, which by its nature is highly cost-effective and the programme is collaborating with several institutions to achieve objectives in a more efficient manner (see Cost-effectiveness).

Efficiency of partnerships

NAP GSP LDC II acknowledged that there are many difficult choices and tradeoffs between different interest groups in the adaptation planning process and therefore the programme has, during its lifetime,

built multiple partnerships by engaging with various stakeholders (see Coherence). As also mentioned in the "Quality of Project Design" potential partnerships were clearly detailed in the Prodoc(s), which also defined partners' strengths and opportunities for collaboration with the programme. The project document did not define each specific role of the partners, however. Yet, given the nature of this programme, and the shifting needs of the countries and the overall adaptation dialogues, defining partner roles would not have been efficient at the project preparation stage. It is most efficient to define those roles on a need basis.

This approach was followed regarding most of the partners: (i) partners implementing complementary projects or programs were contacted for collaboration regarding their specific geographical and temporal scope (e.g., GIZ, EU), while (ii) third parties seen as potential knowledge partners were contacted for collaboration regarding their specific knowledge-basis and potential for trainings (e.g., WMO, GWP). This ad-hoc way of collaboration allowed for targeted collaborations which, as confirmed by the interviews, was successful and efficient. Several interviewees did indicate that the type of partnership precludes partners from 'having a say' on their involvement though.

More institutional partnerships, such as those with LEG, were characterized by a strong interconnectivity which benefited from synergies. Moreover, due to the strong documentation of the activities and outputs by NAP GSP LDC II and the low accessibility threshold (through the development of a devoted website) knowledge on progress and, though to a lesser extent, on lessons learned was easily exchanged to its partners.

Cost-effectiveness

The outputs were achieved in an extremely cost-effective manner. According to the financial information provided by the programme team, the actual programme management cost (USD 287,342) represented 4,8% of the total programme cost which is aligned with the project document (4,8%), and within the threshold of efficient programme management costs (5%).[38] Despite the multiple extensions and doubling of the timeline, the NAP GSP LDC II stuck to this target. This is due to several reasons: (i) a well-built joint implementation model, (ii) close coordination with related projects, programs, and partners and (iii) the choice for a small team as core staff members.

The joint implementation model as described above managed to consider the comparative advantages of both agencies which stimulated a cost-effective and efficient implementation. The yearly Board meetings also discussed matters relating to cost-effectiveness. Moreover, the NAP GSP LDC II, in the case of UNDP, was managed in close coordination with:

- The NAP-GSP for non-LDC developing countries. As mentioned in the mid-term review, some of the knowledge management activities are procured together for the NAP-GSP LDC II and NAP-GSP non-LDC to reduce costs, and increase impact through cross-fertilization of countries, especially LDCs learning from non-LDCs. Measures of this regard include the development of training packages and some training related costs (for instance, trainers' flight costs are shared).

- The NAP-GSP Negotiators Project funded by the GEF-LDCF. The NAP GSP LDC II was managed at the portfolio level by the same project management team at UNDP as the LDC capacity Building of LDC Negotiators project.

- The former NAP-Ag Programme and the newly established SCALA programme, both jointly managed by UNDP and FAO. The NAP GSP LDC II coordinated its activities with the NAP-Ag programme and the SCALA programme, especially regarding the LDCs involved (respectively

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[38] Per implementing agency, this was 4,9% for UNDP and 4,6% for UNEP. UNDP spend USD 178 997 or 89,5% of its project management budget, while UNEP spend USD 108 345 and exceeded its budget (114%).

Gambia, Nepal, Uganda and Zambia for NAP-Ag and Cambodia, Ethiopia, Nepal, Senegal, and Uganda for SCALA).

- The UNDP Climate Promise. The NAP GSP LDC II coordinated its activities with Climate Promise, especially regarding the LDCs involved (Burundi, CAR, and Chad).

UNEP on the other hand also received support from partners who attended and co-hosted some of the regional workshop. For example, the government of South Korea provided financial support and hosted the event on transborder climate risk and integration of the NAP process (see Efficiency of Co-financing). Moreover, full political support was received from LDCs when requesting assistance to co-host regional training workshops and representation to panel discussions inside events. This greatly reduced spending under outcome 2, especially during 2019 (see Financial Management). As mentioned above, many UN agencies (WMO, FAO, UNITAR, UN HABITAT…) and other organizations (GIZ, GWP) have also contributed extensively to the organization of trainings in their respective domains of expertise which allowed for a cost-efficient development of outcome 2 (see Coherence **and compatibility of the NAP-GSP II within the global dialogues on national adaptation planning**).

Furthermore, the implementation of NAP GSP LDC II relied heavily on human resources (one-on-one support and trainings). The programme adopted an approach based on a small team of core staff which was not solely dedicated to NAP GSP LDC II (see above) and complemented by a range of experts who could provide its services on demand. The choice for a small, non-exclusive team was a choice made with the objective of a cost-effective implementation. This result was achieved but did bring with it the inevitable effect of a big workload on the team. Despite this workload, the NAP GSP LDC II managed to overachieve its targets (see Effectiveness) while remaining under its budget. It must be noted however that this happened against a context of a doubled programme lifetime (see next section).

Other factors contributing to the cost-effective implementation was the Covid-19 pandemic which resulted in lowered expenditure towards travelling and organizing large in-person events. These savings were re-invested in an increase in communication and outreach activities, as can be seen in the expenditure level of outcome 3 (see Financial Management and Nature of the External Context). This is deemed a highly efficient way of directing costs to ensure similar results were achieved. Such activities are less prone to exceed their planned budget, which has had an additional positive effect on the cost-effectiveness of the program.

Timeliness of activities

The timing of the NAP GSP LDC II was not realistic. Together with a high ambition, the covid-19 pandemic and COP26, lead to a doubling of the programme duration. The ambitious timeline included in the project document was because the NAP GSP LDC II's expansion of the NAP GSP LDC I. The first phase was completed in 2015 and the preparation time for the second phase was most likely underestimated based on a belief that it could continue the achievement of the first phase of the NAP GSP without much preparation needed. This reasoning made sense for several activities: 10 countries had been supported during the first phase and would also receive support during the second phase (outcome 1), some training materials and networks had been developed in phase 1 (outcome 2) and the knowledge capturing and sharing (outcome 3) could build significantly on the achievements of phase 1. On the other hand, and as the MTR mentioned, preparation was required to set up the programme in new countries (outcome 1) and develop new training packages (outcome 2). Moreover, this preparation had to be accomplished by a small team (see 0 Cost-effectiveness), which could not exclusively spend its time on NAP GSP LDC II. Consequently, UNDP only made its first expenditures in the third quarter of 2016 (see also **Error! Reference source not found. Error! Reference source not found.**). With regards to UNEP the inception phase was even further prolonged as the internal approval process was very lengthy. As a consequence, UNEP only made its first expenditures in the fourth quarter of 2017 (see also **Error! Reference source not found. Error! Reference source not found.**).

As it became clear the budget would not be exhausted at the set completion date of April 2019, the NAP GSP LDC II requested and received an extension in February 2019 to extend the project lifetime duration until June 2020. The extension was not only granted for budgetary reasons, but also to allow the team to respond to the high number of requests for support received. Another extension was requested in February 2020 to answer to the LEG request to support for NAP formulation for LDCs, an activity not initially envisioned in the design. As the NAP GSP LDC II had not exhausted its budget, it could answer to the LEG request. The duration was prolonged until June 2021. The NAP GSP LDC II managed to answer to the LEG request and provided support towards the development of the NAPs of a group of LDCs, which were particularly behind on the process.[39]

In December 2020 a third and last project extension was requested and granted in March 2021. Thereby the programme duration was extended to December 2021. The Covid-19 pandemic hindering business-as-usual was the main reason for this extension request. Furthermore, the extension also allowed the NAP GSP LDC II to support several LDCs in their preparation for COP26 in Glasgow. By its closure date in December 2021, NAP GSP LDC II effectively managed to answer many LDC's requests (see Effectiveness) but had not closed operations completely as dissemination and outreach activities continued to in the first quarter of 2022 to capitalize on all the results of the project.

Adaptive management and integration of key lessons learned

The project has shown a great ability to adapt to the changing development landscape. A key element in its adaptive management approach were its yearly strategic Board meetings where the team not only discussed and addressed new challenges to implementation but also managed to adapt to changing country demands. Another key element was its engagement and outreach to forge partnership with donor or technical agencies (e.g., with AAI, SEI, SIDA, GWP, etc.) that were not recognized during the design of this project. The driving force behind the effective implementation of adaptive management was the dynamic and ambitious approach taken by the Board and PMU within the framework of a comprehensive and expansive program. Moreover, its mitigation strategies have been clearly documented through Board meeting minutes, Progress Implementation Reports[40] and Annual Work Plans. Some of the challenges to implementation and change in country demands experienced during programme implementation were:

- The Readiness and preparatory support programme of the Green Climate Fund. The original project document did not envisage that the NAP GSP LDC II would provide support to LDCs to access GCF funding. However, when it was observed in several UNFCCC reports that LDCs were experiencing problems accessing resources, in addition to huge delays in progress on adaptation planning due to this resource crunch, NAP GSP LDC II showed itself flexible and responded to the expressed need. Among others, the TSU assisted Burundi, Djibouti, and Senegal who were seeking GCF readiness approval, while Cambodia has been supported technically for a direct access proposal for NAPs.

- The LEG requesting support for NAP formulation and finalization. The NAP GSP LDC II was geared towards NAP road-map preparation and tailored capacity building support rather than undertaking the actual compilation, analysis and drafting work for NAP development. However, it answered the request stated in the LEG vision, which called for all LDCs to formulate a NAP by 2020 and supported 7 countries to prepare an (initial) NAP.

- The Covid-19 pandemic. Adaptative steps were taken and included greater investment in national experts and the rest of the team in the country, virtual data collection and

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[39] In particular, the extended support had as objective to finalize the NAPs of Burundi, CAR, Chad, DRC, Sierra Leone, South Sudan, and Timor Leste, and to increase the visibility and outreach of the NAPs of CAR, Chad and DRC by supporting the design and layout as well as providing a translation into English.
[40] Sections on Risk management and Adjustments (UNDP) and the Risk Factor Table as well as the section on Assessment of Possible Covid-19 impacts to the project (UNEP).

strengthened partnerships and moving events into the digital atmosphere (however challenging). For a more detailed explanation on responses to the Covid-19 pandemic, see the section on the Nature of the External Context.

- The COP26. COP26 led to an increasing demand for support and a third program extension allowed the team to provide targeted support for LDCs in preparing for COP26 (in the light of continuing constraints (see **Error! Reference source not found. Error! Reference source not found.**) due to the budget cap and the Covid-19 pandemic).

This does not mean that the programme has been able to overcome all challenges, as the programme has budgetary limitations and because some challenges are out of the control of the programme.[41] However, due to its strong interconnectivity with the development landscape and especially LEG, the NAP GSP LDC II managed to keep its fingers on the pulse and showed a remarkable capacity for adaptive management while pioneering support for long-term adaptation planning.

Rating for Efficiency: Satisfactory

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[41] Such as the limitations of online events both in terms of connectivity and knowledge capturing for participants.

G.   Monitoring and Reporting

Monitoring Design and Budgeting

Both the UNEP and UNDP ProDoc indicated that the project M&E will be "*conducted in accordance with established UNDP, UNEP, and GEF procedures and will be undertaken by the project team with oversight from of the UNDP-GEF units based in Bangkok and the UNEP Division for Programme Implementation (DEPI) in Nairobi respectively*".[42]

As mentioned in the MTR, the project's M&E plan includes two components:

1) Reporting following UNDP, UNEP, and GEF requirements: (i) inception report to be prepared following the inception workshop; (ii) quarterly and/or biannual progress reports; (iii) separate Project Implementation Reports (PIRs) (July – June period) reporting on the components from each institution leads; (iv) Midterm review; (v) independent terminal evaluation; and (vi) annual audit reports. A budget was allocated and spent for each of these reports. Overall, the reporting plan seems to be adequate to monitor, self-assessment and independently, the progress and achievements of the programme. The plan has however an important caveat: it has two monitoring tools separately reporting on components according to the leading implementing agency. This makes it difficult to get a full understanding of how the entire programme is progressing. The NAP-GSP TAG has received annual progress presentations for the work conducted by each agency.
2) The Results-based Management Framework based on the Adaptation Tracking and Assessment Tool (AMAT) for LDCF projects (provided in Annex 3 of ProDocs) provides a series of performance and impact quantitative indicators (definition, baselines, and targets) for project implementation along with their corresponding means of verification. The indicators selected for the framework were not adopted from the AMAT indicators, as it was indicated in the project document.

The results framework was insufficient to monitor results and track progress, both regarding its indicators, baseline, and targets. This is especially true for its capacity-building activities. It should be noted, however, that enhanced capacity is extremely difficult to measure, as often the effects of activities that enhance capacity can only be observed in the long-term. Several efforts were, however, taken to address this flaw. These are discussed at the end of the section, after a more detailed discussion of the shortcomings.

Foremost, the results framework did not include the defined outputs, only objectives and outcomes. As such, and without a Theory of Change, it is difficult to track progress and assess the pathways of change from outputs to objectives – there was no clear linkage. This was a severe flaw in the entire project design and M&E framework.

The indicators at objective and outcome level (outcome 1 and outcome 2) are mostly measuring outputs (i.e., they are in fact output indicators and not outcome indicators):

- The indicator for outcome 1 is measuring the number of countries that has received tailored support but does not provide an indication if that support has enhanced capacities.
- Similarly, for outcome 2, the number of training packages developed, or the number of workshops conducted do not imply that the training packages are accessible to the countries, are used, or that the participants to the workshops absorbed the knowledge and are using it in their work.

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[42] UNEP p. 51 and UNDP p.57

The baselines, for the indicators, are not always robust. For some indicators, the baselines indicate what the first phase of the programme did, but not what the actual situation was at the beginning of the second phase. For instance:

- The baseline for outcome 1 indicates how many countries received support in the first phase, but this does not explain the capacity needs of these countries and the ones that did not receive support[43].
- Similarly, the baseline for regional workshops (outcome 2) indicates how many workshops were conducted in the first phase, but not how many would be needed.
- The same applies to the baseline for the indicator on case studies (outcome 3).
- In addition, many items were produced for which there were no indicators or targets in the first place.

The Results Framework includes targets (only for end-of-project and not for mid-term); also, as observed in the MTR. For the most part these targets seem rather arbitrary, and they do not have an explanation: for example, why target 20 LDC countries out of 47 (and it is not clear if these are additional from phase 1), 2 training packages, 20 case studies or 30% of women participating in training. As also noted in the MTR, 5 of the 7 output targets are not consistent with the indicator.

The lack of tools and methods to measure changes (rather than reporting on the number of countries, training packages etc.) jeopardizes the final assessment of the impact of the programme. Moreover, the spider grams or capacity scorecards mentioned in the 'source of verification' of the objective were never developed. According to the interviews, the main reasons were the fact that such an exercise would be very time- and resource-consuming and the programme would in fact rely on the participating countries to indicate their needs through their requests for support (and thereby indicating their proper baseline). However, this was not translated well into the indicators of the results framework.[44] Moreover, the requests from countries were not stored in a database, which would have allowed for a better overview of the different baselines per country (and thus could have acted as a better proxy for the capacity scorecards, especially for those countries which made multiple requests[45]).

The shortcomings of these indicators, baselines, and targets are related to the fact that the recommendations of the terminal evaluation of NAP GSP for LDCs phase I, which mentioned the need for a sound result framework, were not used during the design of phase II. Furthermore, the design of phase II also did not take the recommendation to develop a clear ToC. As mentioned above, the design of phase II happened before the terminal evaluation of phase I was finalized. However, measures were taken to allow for a better assessment during project implementation, especially regarding the capacity-building activities. The results management framework itself was not changed though. The measures taken were:

- A final survey was organized at programme completion, among others to capture the participating countries' input on increased capacities. This does allow an assessment to some extent of the impact of outcome 1. However, the survey response rate was very low (9 percent) and did not capture all countries participating.

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[43] As noted, 10 of the LDCs receiving support through outcome 1 in the second phase received support in the first phase. Having received support in the first phase is not an indication of the capacity needs of these countries, nor, obviously of the capacity needs of the LDCs that didn't received support through outcome 1 in the first phase.

[44] The capacities and needs per LDCs were discussed in Annex 16 which gives an overview of the LDCs consulted and their respective progress regarding long-term adaptation planning.

[45] Considering both NAP GSP LDCs phase I and II.

- Regarding the trainings and workshops organized under outcome 2, pre- and post-training assessment were held.[46] More precisely, ahead of each training workshop, the link to an online survey was shared, to support the development of workshop materials and content, and to understand more about the capacity and NAP support requirements of participants. After the training, the same questions were asked to the participants. Such assessments give insights in the impact of the trainings. The ad-hoc measurements of such assessments were appropriate as the rate of people attending more than one training was very low (20%). However, this kind of indicator does not show if long-term institutional and technical capacity is built, which was the objective of the programme.

M&E roles and responsibilities were clear and well defined in the programme documents, and development benefits were meant to be captured in the log frame. As indicated above, the main flaws were related to the selection of indicators, baselines, and targets, and the lack of clear lines of change from outputs to objective.

Monitoring of Project Implementation and project reporting

M&E is carried out by the project team and overseen by the UNDP-GEF units based in Bangkok and the UN Environment Ecosystems Division in Nairobi. The project team collected information for most indicators identified in the Results Management Framework. As mentioned above, this was not done for the spider grams or capacity scorecards, nor regarding the requests for support. Surveys, both a final survey and pre- and post-training self-assessment were also used to monitor progress. Furthermore, all dissemination and outreach tools are tracked and monitored.

The programme team both in UNDP and UNEP produced timely PIRs following the format required by both institutions and the GEF.[47] PIRs were developed separately, mainly because there was no GEF requirement carry out joint reporting and the GEF Portal was not active yet (which now greatly facilitates and makes this exercise more efficient). Reports on Board meetings and TAG meetings were also produced. Furthermore, the mid-term review was finalized, one year after its planned date, yet it still took place at the half-way mark when looking at the revised programme duration. The present terminal evaluation commenced one year after project closure (December 2021).

The overall quality of the reporting was insufficient. This was mainly due to the flaws of the results framework and a complete lack of a theory of change which could have guided reporting much better. The PIRs reporting on the progress or performance lacked quality and depth. Both in UNDP and UNEP PIRs reporting remained limited to reporting on the outcomes and not outputs. This was caused by:

- Regarding outcome 1 (UNDP) only one indicator was designed which did relate to the output-level but remained very broad ("number of countries supported") and does not allow for a systemic and detailed overview of the progress made. This strongly relates to the design flaws mentioned above. It must be noted that UNDP did not solely report on the numbers of countries and did add details (how and to what extent the countries were supported). However, this approach should have been more structured.

- The PIRs could have provided more details. An example is the fact that while the PIRs report on how many training packages were conducted, few details are provided beyond this number. Additional details on the number of participants, details on participants, partnerships concerning

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[46] Participants to the training had to self-assess their capabilities to: "Explain the status of national adaptation planning in my region.", "Describe the main steps of national adaptation planning process and explain in which steps appraisal and prioritization of adaptation options takes place.", "Explain at least three approaches that countries can use to assess their climate vulnerabilities and how this information on vulnerabilities can help to appraise and prioritize adaptation options.", "List at least 4 criteria than can be used to rank climate risks.", "options.", "Outline the key steps when performing Barrier Analysis"... Both before and after the training.
[47] UNDP until 2022 and UNEP until 2021.

trainings were not given. Such information would allow greater detail on the activities and the outputs achieved.

- Regarding outcome 3, reporting was sufficiently structured and detailed. Again, as mentioned above, the design of the indicators for outcome 3 was stronger and the fact that its objective relates to knowledge sharing instead of capacity-building allows for better monitoring and reporting.

Furthermore, the two agencies reported in different formats. For example, while UNEP reported clearly by outcome/indicator and the achievement of the indicators, UNDP used a more narrative format explaining the progress of activities. The latter often complicates matters much more as actual results and achievement towards indicators and targets are difficult to gauge.

Rating for Monitoring and Reporting:	**Moderately Unsatisfactory**

H.   Sustainability

Exit strategy

The project document includes an exit strategy (pp. 42-43), seeking to prepare the grounds for countries to continue to advance their NAP process beyond the duration of the project. It plans to achieve this through:

1. Strengthening the institutional and technical capacity within national systems to support and implement national development processes, which allows the process to continue after program termination (identification of gaps and potential measures and means to address the gaps through for example Roadmaps). This has been achieved quite well.

2. The institutionalization of capacity through the development of targeted training activities for key government officials, including staff from the ministries of environment, development planning and finance. Achievements on training is high, and interviews confirm that the training and support has been useful and helped strengthen capacity – however whether long-term capacity has been achieved is, as mentioned, difficult to confirm.

3. Developing and sharing materials (tools, manuals, guidelines, and lessons learned documents) that can inform the NAP process and which will be maintained and accessible upon program termination. Component 3 has played a significant role in this and as indicated in

4. **Effectiveness**, outputs and outcomes under this component has been achieved.

5. Participate in scientific, policy-based and/or other relevant knowledge networks and disseminate the results of the expanded NAP GSP to established information sharing networks and forums (ALM, Regional Climate Change Adaptation Knowledge Platform for Asia/Pacific and the Global Adaptation Network). As demonstrated through the programmes efforts to build partnership, this part of the strategy is in place. Information has been shared across various platforms, webinars are still accessible online, and the website continues to gain visits.

6. Helping identify, access and sequence external financial resources, notably the GCF. Several countries took advantage of this support, and training was completed on accessing GCF Readiness Funding, which was disseminated to a broader cohort of countries (see also Efficiency of Co-financing). As such, this part of the exit strategy is partly in place. It cannot be determined with certainty if the training has been absorbed and if countries have used the training to access GCF funding.

As noted in the MTR, the project document does not integrate these strategies in one section (e.g., the involvement of the private sector is not included in the sustainability section) and generates some confusion by using the term exit strategy for one output rather than for the whole project, the plan to ensure sustainability is relatively comprehensive. Moreover, it helps manage the risk of staff turnover, by producing materials that can be used by people that do not attend training workshops.

The next sections evaluate the actions taken during implementation to avert sustainability risks and prepare for programme exit, regarding three different aspects, namely socio-political sustainability, financial sustainability, and institutional sustainability.

Socio-political and institutional sustainability

Based on progress made during implementation (see

Effectiveness), the socio-political and institutional sustainability of project outcomes seems likely as the NAP GSP LDC II contributed strongly to the international recognition of long-term adaptation planning as well as to enhanced awareness and capacities within LDCs. While the recognition will further create opportunities to embed and implement long-term adaptation planning, a further strengthening of capacities remains a prerequisite to enable LDCs to access those opportunities. As confirmed through interviews with multiple stakeholders (national and global) The NAP GSP LDC II made a big effort to support LDCs in this exercise.

The socio-political and institutional sustainability of project outcomes is described at both global and country-level with the understanding that both levels are intertwined and influence one another.

Global level

The NAP GSP LDCs II built on the NAP GSP LDC I (and its sister programme for non-LDCs). In its entirety, the NAP GSP has been a pioneer in putting long-term adaptation planning on the agenda of the international development community. This was confirmed and reconfirmed throughout multiple interviews.

The NAP GSP LDC II was able to do this through its many partnerships and its strong interconnectivity with the international development landscape, notably the UNFCCC (see also Relevance to GEF/LDCF

COP 7 (Marrakech, 2001) decided to establish the LDCF (decision 5/Cp.7), administered by the GEF Secretariat. The fund was designed to address the special adaption needs of the LDCs under the UNFCCC and was requested to facilitate the implementation of the LDC work programme, which focused on the preparation and implementation of NAPAs. COP 18 (Doha, 2012) requested the GEF "to provide funding from the LDCF to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan process" (decision 12/Cp. 18), which was introduced by the UNFCCC COP as a means to allow developing countries to identify and address medium and long-term adaptation needs (decision 1/Cp.16). COP 21 in Paris and COP 22 in Marrakech reinforced LDCF's mandate to support the NAP process. In this context, NAP GSP LDC II has supported the LDCF to accomplish the mandate from COP 18 to fund the strengthening of the NAP process so that LDCs achieve their commitments under the UNFCCC. Further to this, and as detailed in the MTR, the NAP GSP LDC II is very well aligned with the LDCF Climate Change Adaptation Strategies of 2014-2017 and 2018-2021, in terms of goals, objectives and outcomes.

It is worth noting that the LDCF 2018-2021 strategy (pp. 38-39) explicitly mentions NAP-GSP LDC II as an example of support to global initiatives, which "is a unique feature of the LDCF as other major climate adaptation funds have not supported them in a similar fashion". In addition to the NAP GSP LDC II, the LDCF portfolio also includes NAP projects in several countries (e.g., Senegal, Rwanda, Chad, Niger, Bangladesh), and many LDCF projects have NAP elements, showing the alignment of the programme with LDCF priorities. In addition, the Special Climate Change Fund (SCCF) funded the NAP-GSP non-LDC project, which included many synergies with NAP GSP LDC II.

Relevance to countries needs and). These partnerships have caused a strong spill-over effect to the international community and influenced the discourse on climate change adaptation (see Likelihood of Impact). As rightly mentioned by UNDP in its 2022 PIR, "The work on NAPs is now recognized as a key tool for long-term resilience building for both developing and developed countries, shaped recent climate change negotiations in the COPs and is attributable to the creation of a funding window in GCF in 2016 that is dedicated to support countries on NAPs" (see also **Error! Reference source not found.**).

The NAP GSP LDC II contributed greatly to the recognition and attention for NAPs, building significant socio-political and institutional capacities at the international level. As such the programme managed to fulfil a vital condition for the sustainability of the programme outcomes as widespread international recognition has and will continue to create opportunities for climate change adaptation planning and

implementation. However, LDCs must have access to the opportunities to benefit from this progress and continue their respective planning and implementation processes. Therefore, sufficient socio-political and institutional capacities are necessary.

Country level

At the country level, NAP GSP LDC II managed to support the NAP process and the development of NAPs itself, which strongly increased the socio-political capacities of the supported LDCs. The increase of institutional capacity of LDCs on the other hand remains very limited with LDCs (still) facing significant gaps to develop and implement adaptation plans, which was raised through multiple interviews with both country and international stakeholders. NAP GSP LDC II did support LDCs in accessing future initiatives, which can build on the achievements of the NAP GSP LDC II and further increase institutional capacity of LDCs.

The changes in socio-political and institutional capacities within the supported LDCs are described following the three programme outcomes:

The one-on-one support relating to the NAP process (studies and organization of consultations) has allowed many LDCs to initiate or progress their respective adaptation planning processes. The advancements made in the NAP processes, through preparatory studies or organization of consultations, have fuelled awareness and triggered further national interest in adaptation planning. Thereby, the NAP GSP for LDCs II increased the socio-political and institutional capacity of most LDCs supported under this component. An important sidenote concerns the country driven-ness of the programme, as the tailored support was based on country requests, meaning project results have a high degree of country ownership. This means the support delivered has a strong direct impact on capacities as it fills the gaps demanded by the recipient. Moreover, support was also directed in accessing future support initiatives (such as GCF Readiness and Preparatory Support Program) which allows a certain continuation of capacity building.

The support towards NAP formulation on the other hand only had a very limited impact on the capacities of the supported LDCs. Interviews noted that the approach chosen, namely providing support for a short period through external consultants, does not allow for passing on experience and knowledge to other stakeholders. In contrasts to the support itself, the end-product, namely the NAPs, did have an impact on the socio-political capacity of LDCs. NAPs can be regarded as an important milestone in terms of socio-political sustainability: they have embedded adaptation planning in the national policy framework and act as an important entry point towards implementation in the future. Therefore, the first building block towards sustainability was laid by the one-on-one support. Interviews with country stakeholder frequently mentioned that the NAPs raised the level of national importance of adaptation-planning, which in turn will foster future adaptation planning and implementation.[48]

The training events and products under outcome 2 have also influenced the socio-political capacity of the supported LDCs. As demonstrated in

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[48] For example, more than 90% of the enhanced NDCs include an adaptation component which is a clear sign that adaptation has been placed on par with mitigation.

Effectiveness, the training events and e-webinars organized under outcome 2 managed to reach many participants. On the other hand, only a small number of those participants attended more than one training event (20%). Therefore, the individual capacities of many people have been strengthened to the extent they have a good basic understanding of long-term adaptation planning. According to both interviews and the survey, the technical capacity of beneficiaries of the NAP GSP LDC II increased significantly. Such an approach seems fit for a pioneering programme with the given budget. It has greatly increased awareness on adaptation planning in LDCs. On the other hand, many opportunities (now) exist to further increase the capacities of this large group and disseminate the capacity broader within the countries, both horizontally and vertically. As mentioned by interviewees, this should happen in a more targeted way to allow people to build specialized capacities. Such specialized capacities are needed to avoid a stand-still at the current level and advance adaptation-planning further.

The influence of the trainings on the institutional capacity of LDCs has remained more limited. As mentioned above, individual capacities were only raised to a basic level. Possible spill overs from individual to institutional capacities may therefore be limited. Interviewees mentioned that significant capacity gaps remain in LDCs regarding adaptation planning and especially implementation and accessing financing, as government staff and expertise lack to manage these processes. According to the interviews and the survey, this relates especially to the development of bankable projects and accessing funding of donors in general (see next section).

The last aspect is the work done under outcome 3 and more precisely its role in building a knowledge base for adaptation planning. This knowledge base is easily accessible through the NAP GSP LDC II dedicated website and contains knowledge products on the cross-sectoral (guidelines and e-compendia), regional (regional briefs) and country level (country briefs). Despite the limitations for replicating NAP processes due to its nature which impedes a one-size-fits-all approach, it provides a very good introduction on climate change adaptation (covering the NAP process and its financing) and more in-detail information on specific topics (ecosystem-based adaptation and climate-sensitive investments). Therefore, it can be regarded as supportive towards further building socio-political and institutional capacities of LDCs, without having a direct effect on itself.

Financial sustainability

The financial sustainability of project results remains limited because of the currently insufficient levels of funding for adaptation planning and limited access to such resources for LDCs, despite the NAP GSP LDC II contributing heavily to increased attention and funding for adaptation planning and putting LDCs on the way to access those opportunities.

The NAP process is an iterative process and therefore depends on future funding for the benefits to be sustained. Such financing can either be provided by domestic funding of LDCs or by accessing international funding; and it can be private funding, public funding, or development aid. Interviews made it clear that LDCs have in general not budgeted any financial resources towards adaptation planning or implementation showing a clear gap on weak financial climate governance within the LDCs. On the other hand, the increased international recognition for adaptation planning is followed with increased donor attention. This has allowed diversification of donors for adaptation planning.

Many programs (among which SCALA, Climate Promise and the GCF Readiness and Preparatory Support Program) will continue to provide funding for adaptation planning. However, the available funding has currently not reached the needed levels[49] and LDCs are experiencing difficulties when accessing those resources. The NAP GSP LDC II has supported various countries in accessing resources of international donors and when successful, these projects further increase the financial and institutional capacities of

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[49] Sharm-El-Sheikh Adaptation Agenda, The global transformation towards adaptive and resilient development, p.24.

LDCs. The fact that the NAP GSP LDC II managed to support LDCs in getting access to follow-up support initiatives is another great achievement of the programme, as future development of financial and institutional capacities remains within reach for LDCs (see also previous section). Presently, however, interviewees have made it clear that resource mobilization remains the biggest challenge, as LDCs do not possess sufficient staff numbers nor expertise to carry out this task (see above). Support for investment planning, the development of bankable projects and access towards funding in general, are very much needed.[50]

Rating for Sustainability: **Likely**

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[50] Such as for example provided for by the NAP Global Network.

I.   Factors Affecting Performance and Cross-Cutting Issues

Since several of the 'factors affection performance and cross cutting issues' have been covered in previous sections, this section will primarily touch on remaining topics not covered elsewhere. Preparation and Readiness has been covered the section on Quality of Project Design, the assessment of project management and supervision is covered in efficiency, stakeholder participation and cooperation are covered in relevance and coherence as well as efficiency, country ownership and drivenness, gender as well as communication and public awareness is both covered in effectiveness.

Responsiveness to Human Rights

The NAP GSP LDC II supports the development of NAP processes and NAPs itself. As the overarching objective of NAPs is to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience, a link exists with human rights. Particularly as the climate dialogues automatically have put a stronger emphasis on integrating this in national policies and plans. The impacts of climate change will namely infringe on the substantive rights of vulnerable groups, including the rights to life, to health and well-being, to physical integrity and human dignity, to an adequate standard of living, to a decent livelihood and to education.[51] In general however, NAPs do not address human rights.[52] The NAP GSP LDC II did not change this. As noted above, the importance of inclusiveness of vulnerable groups (except for gender) has remained largely missing from the NAP GSP LDC II program activities. Furthermore, the NAP GSP LDC II was based on a country-driven approach, meaning countries were supported according to their requests, and the implementing agencies refrained from pushing an external agenda. The responsiveness regarding human rights in programmes such as this could be increased by exploring how to institutionalize a rights-based approach in ongoing NAP planning and implementation, and to develop guidance as to what a rights-based approach to the NAP process would look like.[53] On the other hand, such an evolution might limit the country drivenness of the programme, as it is so far unclear whether LDCs would request the inclusion of the rights-based approach.

Environmental and Social Safeguards

The NAP GSP LDC II was expected to generate medium- to long term positive environmental and social impacts. There were however no on-the-ground interventions related to any project location. The NAP GSP LDC II therefore rightfully assessed its environmental and social risks only during the programme development phase and did not monitor it during implementation (see Project document, Annex 14).

Gender

The NAP GSP LDC II adequately integrated gender equity to the project design and activities, as appropriate for a global support programme. A Gender Action Plan was not developed, however also not a necessity since there were no on-the-ground activities. The ProDocs considered the subject of mainstreaming gender in activities through ten mainstreaming approaches (see e.g., UNDP ProDoc para. 117). These approaches have largely been satisfied in project implementation as indicated in Table 8.

Overall, the programme gender sensitization´s efforts encouraged key stakeholders to adopt a gender-sensitive approach at all stages of adaptation planning and as such the programme aligned with the principles of the NAP process to mainstream gender. This not only contribute to climate-resilient planning, but also works towards the achievement of SDG5. Furthermore, the project team encouraged participation of women at both country-level workshops under component 1, as well as through regional trainings and global south-south exchange events.

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[51] Anschell, N., Salamanca, A., Bernard, V. and Aryani, S. (2022). *Human Rights in the Process of National Adaptation Planning: Insights from a review of Submitted NAPs*. Raoul Wallenberg Institute of Human Rights and Humanitarian Law, Jakarta, Indonesia.
[52] See footnote 51.
[53] See footnote 51.

More could have been done to track gender. Though a gender indicator was integrated in the training component of the results framework, and the percentage of women were tracked across training activities and knowledge sharing event, gender could more closely have been tracked also in terms of the participation in one-on-one country support. For example, gender participation in the NAP workshops, attendance of gender civil groups, percentage of government staff which were women in attendance etc. This would have shown better the complete reach on advancing gender equity. The end-of-the programme survey could also have done more to ask specific questions on gender equity and how well the programme tended to gender sensitive not only in its activities, but also through its implementation.

Table 8. Mainstreaming gender in project implementation

Strategy to mainstream gender	Achievement
Participation from relevant ministries in all of the programme's activities will be encouraged to ensure that the needs and challenges of women, youth, and other marginalised population groups are represented in the NAPs national teams (e.g., inclusion of relevant ministries and women's group).	The PIRs testify to the programme encouraging participation of women at both national and subnational validation and consolidation workshops under component 1 in Burundi, CAR, Chad, DRC, Sierra Leone, South Sudan, and Timor Leste as part of the formulation of initial NAPs. Whether this attendance was realized and at which level could have been monitored better.
One-on-one technical support provided to countries will include gender analyses and facilitating the mainstreaming of gender considerations into climate change adaptation plans, as well as the sensitization to the need to integrate this.	The general template for NAP workshops in the countries under component 1 included a session on mainstreaming gender in the NAPs. Furthermore, NAPs developed from the programme support mainstreams gender considerations (e.g., observed in CAR, Chad, Sierre Leone, South Sudan, Timor Leste). Interviews with country stakeholders also confirm the programmes focus on ensuring gender was mainstreamed adequately in the NAPs. For example, Gender analysis was carried out for Chad, Burundi, and CAR, which was confirmed through interviews.
LDCs will be encouraged to invite female participants to the regional targeted training workshops, in line with relevant national gender equity targets of participating countries and international agreements, such as the Fifth Sustainable Development Goal.	39% of attendance in training events were female, which comes close to the target of 40 %. It was much lower at MTR, but interviews and desk review confirm that the programme team encouraged increased participation of women to the countries and agencies responsible for sharing invitations to trainings and workshops. Furthermore, reporting on activities shows that participation of women has also been encouraged at the Global South-South Exchange event in 2021, which include 59 female participants; 35%), and in the course on integrating EbA, 60% of participants were female.
A separate training module on gender and adaptation planning will be developed and delivered at least once in each of the three regions.	Gender training aspects were integrated in (1) adaptation finance, (2) water resource management and (3) appraisal and prioritisation of adaptation options. An open online course on "Gender and Environment" has also been developed.
Training sessions and workshops will be delivered with gender sensitivity to ensure that: a) both male and female participants are empowered to participate meaningfully in the trainings; and b) all participants are made aware of their responsibility to respect the views of all of their colleagues during training sessions. Trainers will be required to have the skills	It is difficult assess whether this delivery was achieved – there is nothing to indicate that men and women did not feel equally empowered in workshops and trainings to share their opinions and views. However, there is also no evidence pointing towards the program ensuring everyone in workshops understood their rights and responsibilities in respecting all views.

and experience necessary to plan and facilitate gender-sensitive training.	
Partnerships with relevant organisations, such as UN Women and GGCA, will be explored to ensure that the technical support and training provided through the programme is gender-sensitive and inclusive.	The NAP-Global Network collaborated with the programme team to include a gender analysis in the development of Chad's initial NAP and to strengthen gender components in Burundi's and CAR's initial NAPs.
Knowledge generated by the project will be gender-sensitive, ensuring inclusion and sensitivity towards differences among target audiences.	Knowledge generated have attended to gender sensitivies and equity. A gender-lens e-article revieiwing the integration of gender considerations in the NAP process in Burundi, Benin and CAR was developed (2020) and gender sensitive content was included in the e-compendium and e-modules on NAPs.
Expanded NAP GSP will use appropriate access and communication channels to reach men and women equally when disseminating knowledge and training material. In particular, national climate and gender advocacy groups will be enrolled in the knowledge dissemination network.	The programme used traditional means of communication channels such as emails, social media, and direct phone communications to reach stakeholders without any bias.
Gender specific indicators and targets have been included in the project results framework to monitor the progress of gender mainstreaming in the programmes activities.	One gender indicator was integrated in the results framework: "Percentage of participants in the regional targeted training workshops that are women."
Gender-specific allocations are specified in the budget (see budget notes).	The financial information received did not indicate any specific gender allocation in the budget. However, this may not have been fully relevant for this programme. Development of material on mainstreaming gender was integrated under the overall budget of component 2.
Source: Strategies are from the signed UNDP ProDoc	

Rating for Factors Affecting Performance and Cross-Cutting Issues: Satisfactory

VI.   CONCLUSIONS AND RECOMMENDATIONS

A.   Conclusions

As the summary of project findings and ratings is provided in the following section, this section focuses on the key strategic questions raised in the ToRs of the Terminal Evaluation during the inception phase.

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

LDCs have been engaged and interested in commencing national adaptation planning, but expressed that they did not have adequate budget, capacity, and awareness to carry out the process. The NAP GSP LDC II significantly supported LDCs in these three areas.

The joint implementation model was seen as a strong feature of the programme contributing greatly to its achievements. Based on interviews the two lead agencies brought different, but complementary expertise to the table, which benefitted the target countries. Specifically, project beneficiaries mention the benefit of UNDPs access to country offices and in-country networks as well as close relations with the government stakeholders to efficiently support countries under component 1. Specifically, LDCs indicated the ease of working with UNDP's country offices and the avoidance of building new relationships (which would have been time-consuming). UNEP on the other hand, brought to the table a large international network and regional presence and relations as well as expertise in deploying training and capacity building. Technically, this set-up also allowed beneficiaries to gain from UNDP's specialty in climate finance and mainstreaming development planning and UNEP strong expertise in translating scientific evidence and research into information for decisions makers. The engagement of UNDP and UNEP meant expanded know-how was within reach, which enabled the programme to answer to each different request for support as expressed by the LDCs, however different the area of expertise needed. In other words, specific technical experts were always at hand. Furthermore, the networks of both UN agencies were accessible for the NAP GSP LDC II, which allowed for (1) a larger network to draw on for specific expertise when assistance was needed for events, training, workshops etc., and (2) the ability to spread awareness and knowledge much further had only one agency run the programme.

To what extent did the project improve capacities for adaptation planning?

It is without a doubt that the programme contributed to the capacity of the LDCs that it has supported. However, as noted, the level at which technical and institutional capacity is enhanced and sustained in the long term is extremely difficult to assess. As illustrated through the analysis in effectiveness, impact and sustainability, evaluative evidence clearly points towards raised capacity. The desk review, survey results and interviews with beneficiaries all points towards the raised capacity of the countries that were supported and those who participated in the trainings and south-south learning got a good understanding of the NAP process and key themes relevant to this process (gender, water, agriculture, science basis, risk assessments etc.).

Real capacity should be looked upon in the ability of the programme to catalyze long-term change and set in motion a process that the countries can build on. The achievement of ensuring raised capacity within the countries supported is illustrated through the development of NAPs in some countries, and the progress on the NAP process in others (i.e., stocktaking, baseline analysis etc.). This achievement means that NAPs are now part of countries' national policy frameworks and adaptation planning is considered when talking about national development. While this sets a basis on which the countries can build on, the institutional and financial capacities for adaptation planning remain low in LDCs to continue the process forward, as indicated through interviews. The institutional capacities have only managed to increase slightly as the one-on-one support was provided to LDCs through external consultants which mostly only interacted for a short period with the respective government. Moreover, training events and products

while reaching many people, only few participated in more than one event. Therefore, the institutional capacity of LDC is currently not at the needed level to continue independently with adaptation planning.

Technical capacity has also been built to assist countries with accessing financial resources from international donors, which further advances the financial capacity of the country. More specifically, support from external consultants allowed LDCs to develop concept notes and proposals, notably related to the GCF Readiness and Preparatory Support Program. As mentioned above, the approach of using external consultants did not itself contribute to increased institutional capacities. However, they did manage to give access to future support initiatives, which in turn will further strengthen the institutional capacities of the LDCs. Consequently, the NAP GSP LDC II managed to support many LDCs in their process of accessing a follow-up opportunity, which offers the potential of building further where the programme stopped, emphasizing such clear gaps as taking NAPs from development to implementation (development of concept notes, projects, budget tagging, further horizontal and vertical integration of the NAPs etc.). More specifically, follow-up initiatives could focus on specific sectors and themes and may even support capacities at government level in a more systemic way. Such an approach would allow adaptation planning and implementation to take the next step in the process of integration in the development landscape.

To what extent was this extended NAP planning project an added value to the first and in what main ways did it add value?

The second phase of the NAP GSP LDC added value in terms of increasing awareness on adaptation planning, increasing technical capacities and embedding the NAP in the national policy framework. The design of the second phase considered the recommendations provided by a considerable number of LDCs during phase I and some adjustments were made, such as moving from general to targeted training on topics selected by LDCs. The project document also shows that a lesson from the first phase was factored in regarding the scope of the engagement of stakeholders, which was further enlarged. However, the second phase did not factor in the lessons learned identified and the recommendations provided by the terminal evaluation of the first phase which constitutes a missed opportunity.

The activities themselves, as mentioned above, have managed to reach a larger group compared to the first phase, have further increased the technical capacities which now reach more targeted subjects and was indispensable for many LDCs in the development process of their first (initial) NAP. Together with its influence at the international level, the NAP GSP LDC has managed to put adaptation planning on a level where the process of implementation can start in many countries; particularly with the assistance to proposal development which materialized in financing for NAP planning. It is notable that many LDCs have yet to develop and submit their first NAPs. Though, the added value cannot be underestimated, it still must be considered within the context of LDCs continuing to face enormous financial and institutional capacity needs to ensure proper adaptation planning.

Is the NAP GSP II a cost-effective mechanism to either continue further support on NAPs or for enhancing countries capacities on other similar emerging issues (NDC implementation, loss and damage etc.)

The implementation of the NAP-GSP II was found to be a cost-effective mechanism for supporting national adaptation planning in LDCs. The program achieved its outputs in a highly cost-effective manner, with management costs well below the efficient threshold. This efficiency was attributed to factors such as a well-built joint implementation model, close coordination with related projects and partners, and a small core staff team. The program effectively utilized resources to generate positive outcomes and maximize its impact.

Collaboration with other initiatives and partnerships helped reduce costs, increase impact through cross-fertilization, and share resources. Support from partners and governments, including financial assistance and event hosting, further contributed to cost savings. The program relied on a small core team supplemented by on-demand experts, striking a balance between cost-effectiveness and workload.

The COVID-19 pandemic led to reduced travel and in-person event expenses, allowing the program to redirect savings toward communication and outreach activities. This reallocation ensured similar results were achieved without exceeding the planned budget.

Overall, the NAP-GSP program demonstrated its effectiveness in using resources efficiently, leveraging partnerships, and providing valuable support to LDCs in addressing global challenges; this model could be applied to similar themes or to build on the work done on NAPs as the need in LDC for assistance remains.

B.   Summary of project findings and ratings

The table below provides a summary of the ratings and finding discussed in Chapter III. Overall, despite the project delays, it is the assessment of the evaluators that a lot have been achieved while navigating challenging conditions. Programme targets have been met and/or overachieved, and the overall acceptance and sentiment around the program is highly positive. The programme has been welcomed by the countries, and overall stakeholders (both national and international) have viewed the programme as a pioneer and essential player in the coordination and advancement of national adaptation planning in LDCs. As a result, the project demonstrates a rating of Satisfactory. This overall rating has been calculated using UNEPs Weighted Ratings Table.

Table 9: Summary of project findings and ratings

Criterion	Summary assessment	Rating
Strategic Relevance	The programme has been well-aligned in the international and national context of national adaptation planning. It is strategically supports the overall, and constantly changing, discourse surrounding the development of NAP.	HS
1. Alignment to UNEP and UNDP Strategic Priorities	The programme is well-aligned with the strategies and objectives of both UNEP and UNDP on supporting national adaptation planning.	HS
2. Alignment to Donor/GEF/Partner's strategic priorities	The programme has responded well to the UNFCCC guidance on national adaptation plans and has also followed well the changing needs and priorities as determined and disseminated by the LEG. The programme also supports the LDCF's mandate to advance adaptation planning in LDCs and aligns well with other projects within the NAP portfolio as well as the separate GEF Special Climate Change Fund, which supports the NAP GSP for non-LDCs.	HS
3. Relevance to regional, sub-regional, and national environmental priorities	The programme matched the needs of the target countries and adjusted according to the changing capacity needs during project implementation. Though some progress was made on aligning activities to enhance subnational engagement, this area was still not sufficient.	HS
4. Complementarity with relevant existing interventions/coherence	Implementation was coherent with other activities related to the NAP process such as the GCF Readiness Window on NAPs and it was done in coordination with a wide variety of global and regional stakeholders, which contributes to the programme depending on the needs and the stakeholder's specific specialty. There has been somewhat more coordination with UN agencies, and more could have been done to integrate regional organizations and particularly MDBs.	S

Criterion	Summary assessment	Rating
Quality of Project Design	Though the overall programme objective and rationale was clear, and included a sound stakeholder analysis, the design was hampered by the lack of a clear Theory of Change that illustrated the pathways of change or the program from outputs to the impact. In addition, the design of the second phase could have been better informed by the first phase activities.	S
Nature of External Context	The programme has done very well to align its activities with external impact factors. It has responded well to the changing needs of the LDCs with regards to their NAPs in accordance to the LEG and entry of the GCF funding, and did very well adjusting to the Covid-19 situation.	F
Effectiveness		S
1. Availability of outputs	The programme has overachieved on all its outputs despite the delays caused by the Covid-19 pandemic. Changes to the programme to fit the Covid-pandemic was done in a way that still garnered results.	HS
2. Achievement of project outcomes	Linkages between the outputs and their contribution to the outcomes and objectives are clear, and overall outcomes have been achieved.	HS
3. Likelihood of impact	Impact is likely, with only with a few very minor caveats. There are still gaps in the support to ensuring deeper subnational integration, though some advances have been made in this area. Furthermore, despite this being noted as beside the programme's mandate, the lack of integrating the private sector or even providing training and information on the challenges around private finance in adaptation is a significant gap in the project activities. Especially, as private finance has started to play a more intensive role in climate finance overall.	L
Financial Management	Effective financial management has enabled the NAP GSP LDC II to exceed expectations and respond to the spontaneous demands of the international development community and Least Developed Countries (LDCs). However, a significant gap exists as the tracking of co-financing, an essential component of the program, was not carried out, resulting in a notable incompleteness.	S
1. Completeness of project financial information	The financial information was complete in terms of expenditures and the adjusted budget according to the yearly revised work plans yet was very incomplete regarding the tracking of co-financing, which could have been more closely monitored in the PIRs and financial reports. In particular considering the many partners of the NAP-GSP II.	MS
2. Adherence to UNEP's financial policies and procedures	Despite a doubling of the programme duration, the NAP GSP LDC II remained in line with its approved budget.	S
Efficiency	The NAP GSP LDC II had a well-build and well-functioning programme management unit. Moreover, many stakeholders provided their support which was organized well. The project duration was doubled, mainly due to a very slow upstart by both UNDP and UNEP. The capacity for adaptive management and their achievement are remarkable.	S
Monitoring and Reporting	The monitoring design was weak, affecting the monitoring and assessment of progress of the NAP GSP LDC II. Project reporting lacked quality on the essential elements of progress and performance.	MU
1. Monitoring design and budgeting	The results framework is insufficient to monitor results and track progress, both regarding its indicators, baseline and targets.	HU

Criterion	Summary assessment	Rating
2. Monitoring of project implementation	The progamme management unit performed its monitoring activities as needed.	S
3. Project reporting	The overall quality of the reporting was good. However, regarding the PIRs the reporting on the progress or performance lacked quality.	MU
Sustainability	Benefits of the project results will likely be maintained as adaptation planning is embedded on both national and international levels, despite LDCs still facing enormous financial and institutional capacity needs.	L
1. Socio-political sustainability	The NAP GSP LDC II greatly contributed to the socio-political capacity with NAPs now being embedded in the national policy framework of LDCs	HL
2. Institutional sustainability	The institutional capacity of LDCs remains low, however future support initiatives can build further on the merits of the NAP GSP LDC II.	ML
3. Financial sustainability	The financial capacity of LDCs remains low however the NAP GSP LDC II contributed to the development of future support initiatives and supported LDCs in accessing those	L
Factors Affecting Performance	SATISFACTORY	S
1. Preparation and readiness	The project design was informed by a comprehensive and consistent situation analysis and the relevance of the program was clear and aligned according to priorities and needs. The operational design (governance, risk management, communications, financial planning) was also sound, however the design was not informed by a serious analysis of the first phase, did not include a robust RMF and overestimated the rate of disbursements and implementation of inputs.	MU
2. Quality of project management and supervision	The TSU has shown good leadership skills, been coordinated, and have overall managed both the programme and challenges (like Covid-19) well. Adaptive management have been deployed appropriately, and stakeholders report of high-quality support with the only caveat being slow turn-around time on some occasions.	S
2.1 UNEP/UNDP Implementing Agency:	Since this programme was both implemented and executed by UNDP and UNEP, the justification of the rating is only provided above	S
2.2 Partners/Executing Agency:		S
3. Stakeholders' participation and cooperation	The quality of stakeholder participation has been outstanding. The program has benefitted from a broad consortium of high-quality partners that have provided significant value added to the programme implementation. Overall, the programme has shown exceptional coordination efforts and coherence.	HS
4. Responsiveness to human rights and gender equality	The project has mainstreamed gender well in project activities, though more could have been done with regards to setting indicators on gender. The project also highlights human rights in the context of adaptation in trainings.	S
5. Environmental and social safeguards	An assessment of environmental and social safeguards was carried out at programme design stage. There were however no on-the-ground interventions related to any project location therefore safeguards were not monitored during implementation.	S
6. Country ownership and driven-ness	Country ownership and driven-ness was high. Requests for support under component 1 was made by countries, thereby putting them in the driver's seat on activities needed, and component 2 and 3 activities were very much based on the need expressed by the countries.	S

Criterion	Summary assessment	Rating
7. Communication and public awareness	The programme used a broad set of communication channels ranging from its own well-designed and easy-to-navigate website to social media, and broad dissemination through its many partners. Component 3 played a key role in the communications and public awareness strategy.	HS
Overall Project Performance Rating	SATISFACTORY	S

C.   Lessons learned

Lesson Learned #1	Global support programmes can have a deeper impact on the overall climate adaptation dialogues, on one hand significantly advancing adaptation planning within countries, but also reversely influencing the overall discourse on national adaptation planning in LDCs.
Context/comment	The integrated part of the NAP GSP LDC II within the UNFCCC and close collaboration with the LEG cannot be underestimated in terms of a program like this helping with pushing the needle on adaptation planning. Lessons from the program can significantly help influence the overall discourse and dialogues on national adaptation planning and the development of scaled-up programmes and activities (such as the GCF Readiness Fund Window on NAPs). Reversely, the in-country work helps translate complicated processes, COP decisions, and requirements into more manageable activities that assists LDCs with setting a core basis on which national adaptation implementation can commence.

Lesson Learned #2	A joint implementation model based on a clearly defined framework can greatly improve the potential and quality of support of a programme.
Context/comment	The design of the joint implementation model was based on the comparative advantages of UNDP and UNEP, which can enhance efficiencies and for a global program like this allows for much broader impact; both globally, regionally, and nationally. Tasks and activities were clearly defined and separated, yet collaboration was coordinated closely as teams were both based in the UN Offices in Bangkok, and thus could stay in direct contact.

Lesson Learned #3	Capacity building activities face a dilemma between individual technical capacity building and long-term meaningful institutional capacity building.
Context/comment	Medium- and long-term adaptation planning requires strong institutional capacity building that lasts. While there are indicators that points towards institutional capacity having been built through the development of NAPs, concept notes, integration of adaptation in policies and plans, stocktaking, and financial proposals, it is difficult to assess if the technical capacity has been build enough to ensure that the institutional capacity manifests itself in the long-term.

Lesson Learned #4	Country driven-ness as a basis for delivery of support allows for an efficient and effective organization of communication and implementation of activities.
Context/comment	Both outcome 1 and 2 of NAP GSP LDC II relied on country requests as a starting point. This initiates communication with beneficiary countries in the most efficient way and allows for support activities to target areas which are most needed.

Lesson Learned #5	The active search for and engagement of partners strengthens the implementation model of support initiatives, greatly improves the cost-effectiveness of their implementation, and establishes an implementation model that ensures coherence.
Context/comment	NAP GSP LDC II coordinated widely with partners. On the one hand those partners provided support regarding their respective domain of expertise, on the other hand this allowed to build bridges with similar or related support projects allowing for synergies and spill-over effects. The strong network created in this manner has raised the (international) recognition of adaptation plan.

Lesson Learned #6	Project/programme designs need a robust theory of change and results management framework which draw clear lines on pathways of change.
Context/comment:	Designs should include the development of a theory of change that connects with a results management framework, which should include SMART indicators, baselines as well as mid-point and end targets, to monitor progress towards the achievement of output, outcomes, and the objective of a project/programme. The objective of developing a baseline for all LDCs involved was unrealistic from the start, and there were too many gaps in the results framework to properly monitor achievements. In addition, the complete lack of a theory of change made assessing pathways of change highly difficult. A theory of change is particularly useful for capacity building programmes where objectives and impacts are more difficult to measure.

Lesson Learned #7	Additional phases of programmes or projects should be informed by the independent and technically sound terminal evaluation of the preceding phases, addressing the caveats identified and following the recommendations made in that report.
Context/comment:	Several flaws in the design of the NAP GSP LDC II were caused by the programme being designed prior to the conclusion of the terminal evaluation of the previous phase(s). A new programme should look backwards to adapt to the lessons and recommendations of the previous programmes, which simultaneously analyse the new context carefully, acknowledging that because of the programme the new context may be quite different to the one of the preceding phase(s).

D.   Recommendations

Since the programme has ended and there are no subsequent phases of the NAP-GSP, the recommendations below are divided by (1) recommendations for the steps that UNDP and UNEP can take next to ensure continuation and improve some of its processes (mainly related to measuring capacity building). These are recommendations that are based on opportunities, which may ensure that the momentum that the NAP GSP II has begun, can be continued. And (2) are recommendations for integration in any future programming and planning.

Recommendations for immediate next steps and opportunities

Recommendation #1	UNEP and UNDP should develop and/or deploy better tools to track and measure enhanced institutional and technical capacity
Challenge/problem to be addressed by the recommendation	The programme had planned to develop capacity score cards at the start of the programme but deemed this obsolete in measuring enhanced institutional and technical capacity. The tools used to assess enhanced capacity were not sufficient in making a true assessment of whether long-term institutional capacity had been built.
	Development projects and programmes in general (especially within the UNDP and UNEP) often carry a capacity building or training component, even if their sole focus is not on capacity building. The evaluators are yet to come across a programme or project, though, that have been able to sufficiently deploy monitoring tools that help assess enhanced capacity. This provides for a clear opportunity for agencies like the UNDP, UNEP, or any of its partners in the NAP GSP LDC II programme to investigate and analyse how long-term enhanced technical and institutional capacity can be measured, and ultimately develop a tool to measure this. This could be done by commissioning a study on "measuring capacity enhancements in climate change development practices," which synthesizes present indicators and pathways of change used to assess enhanced capacity, pitfalls, best practice, etc. Which then could be followed by the

	development of guidelines for properly measuring long-term technical and institutional capacity.
Priority Level	Opportunity
Type of Recommendation	UNEP/UNDP-wide
Responsibility	UNEP/UNDP
Proposed implementation time-frame	12 months

Recommendation #2	Expand/upscale UNDP and UNEP support beyond the NAP GSP II to build capacity that take national adaptation planning to the next level
Challenge/problem to be addressed by the recommendation:	Despite the comprehensive achievements of the NAP GSP LDC II, LDC's still experience significant capacity needs to advance their NAP processes, with a particular wide gap getting from development of NAPs to implementation and broader impact in terms of building resilience.
	While continued focus can be on LDCs that have not developed their first NAPs yet, any future support should expand capacity building to focus on a few key areas that help take national adaptation planning to the next level. Generally, this can be done by building on what has been done so far through the NAP GSP LDC II as well as other global and national programmes supporting the NAP process. Based on the key findings of this terminal evaluation, a few areas were identified:
	• Continue the integration of activities that mainstream national adaptation planning vertically and horizontally. While capacity building activities in the NAP GSP LDC II commenced some focus on vertical and horizontal inclusion in the NAP Process, there is a significant need to ensure vertical and horizontal mainstreaming of the NAPs. That is mainstreaming the NAP priorities cross-sectorally and commencing the process of development Local Adaptation Plans (LAPs).
	• Expand focus on access to resources that can advance actual implementation of the NAPs. This was a significant need expressed by the countries in interviews. While the NAP GSP LDC II advanced on countries access to the GCF Readiness Window for NAPs, this is only a very minor part of accessing resources. Assessing ways to build capacity in countries so that they can better integrate the private sector in financing adaptation planning or explore opportunities beyond grant financing overall would be an added benefit. The current international dialogues on private finance for climate change overall, offers ample opportunity for enhancing capacity and knowledge on this subject moving forward and building the necessary capacity to enhance private sector engagement in the next stage of the NAP planning process.
	• Building broader capacity that enhances overall climate governance. Some barriers noted by survey respondents, which were not addressed in the NAP GSP LDC II included the persistence of weak governance in LDCs to handle the NAP process, and the need for collaboration with other planning processes such as disaster risk reduction. These are valid barriers that may play a significant role in any future NAP

	Planning processes; an area of particular interest could be budget tagging for climate adaptation in national budget planning and procedures.
	• Build targeted partnerships with the key groups that help drive the NAP process within the LDCs, for example, continuing partnerships with the LEG and the LDC Group on Climate Change; but also, international organizations that have been long-term supporters of these groups, like Climate Analytics and the International Institute for Environment and Development. LDC Initiatives, like the LUCCC, LIFE-AR, and REEEI could also be instrumental partners in a next phase given their work on adaptation planning.
Priority Level:	Opportunity
Type of Recommendation	Partner-level
Responsibility:	Board
Proposed implementation time-frame	12 months

Recommendations relevant to future phases or similar programme/project design

Recommendation #3	**Take proper note of and integrate recommendations and lessons learned from previous implementation of global programmes during the development of additional phases or similar global programmes.**
Challenge/problem to be addressed by the recommendation	Additional phases should ideally not be commenced until the evaluations of previous programmes have been finalized. Any upscaling should be done based on findings, lessons, and recommendations, which as appropriate, should be integrated in upscaling programme designs.
	Due to an early upstart the NAP GSP LDC II, the programme was not informed by the recommendations made by the terminal evaluation of its predecessor. However, the programme itself experienced significant delays in its upstart. As such, programme design could also benefit from an early assessment and integration of any potential risks during upstart so that necessary mitigation measures can be integrated in the design to mitigate these.
	Findings and recommendations of programmes such as the NAP GSP LDC II can, and should, also be used in the development of similar global support programmes, whether they are related to adaptation planning or not. Preparing project designs that are informed by other projects is best practice and should at no point be underestimated in terms of the effect it can have during project implementation.
Priority Level	Important
Type of Recommendation	Project-level
Responsibility	UNEP/UNDP
Proposed implementation time-frame	During programme design

Recommendation #4	Develop strong and comprehensive M&E Frameworks
Challenge/problem to be addressed by the recommendation	The results framework of the NAP GSP LDC II did not develop its baseline assessment as proposed and missed the opportunity to use the country requests for support to serve as this baseline and even measure progress. Moreover, targets were not estimated correctly and not tied to their defined outputs. And many indicators were missing or inadequately defined.
	Any project or programme needs a strong and comprehensive results framework that draws on a theory of change, which clearly depicts the pathways of change. This is particularly the case for programmes with objectives to build long-term institutional and technical capacity, which is difficult to measure and assess. As such any future agencies planning to deploy similar activities should invest significant time in developing a theory of change as well as a monitoring framework, following the logical framework of the programme and covering all levels separately.
	The process of developing a theory of change is a long and iterative process that needs to be done early in the project design phase. It should be reviewed and discussed with all key stakeholders of the program to ensure that proper barriers and assumptions are integrated and that outputs are properly mapped through outcomes to impact. The discussions of a theory of change design can easily be done by dedicating a session to theory of change during project/programme design workshops where components and other design aspects may be discussed.
	Similar process should be done for the development of the results management framework. Proper SMART indicators should be developed at both output and outcome level, and solid baselines should be developed. A Baseline assessment could be integrated in the design stage and carried out instantly at project start for findings to inform any improvements in indicators and targets.
	It is also advised that an M&E expert is contracted to guide the overall process. It is rare that technical project and programme teams have the expertise necessary to develop strong results frameworks and theory of change.
Priority Level	Critical
Type of Recommendation	Project - Level
Responsibility	UNEP/UNDP
Proposed implementation time-frame	During programme design

Recommendation #5	Track co-financing in a structured and systematic manner.
Challenge/problem to be addressed by the recommendation	GEF always requires a certain amount of co-financing in their project proposals (since GEF-7 a ratio of 7:1, with the exception for LDCF funded projects/programmes). Co-financing is meant to drive ownership of the executing and implementing agencies and recipient countries. The GEF policy on co-financing also requires Agencies, in collaboration with recipient countries and executing partners, to monitor and report on sources and types of co-financing.
	However, during implementation of the NAP GSP LDC II actual co-financing was not tracked consistently. The information on the actual mobilization of co-financing was not present in the PIRs or financial

	reports provided to the evaluation team and had to be provided separately. The lack of tracking co-financing shows insufficient standards on the procedures and protocols for monitoring and reporting at the implementation stage on co-financing. If a more structured approach would have been followed from the project start, the many partnerships which were capitalized during the project would have been recorded in more detail.
	The tracking of co-financing is important, especially in a programme where partnerships are numerous and partners play an important role. Not only because of the obligation by the GEF to monitor and report but also because it would allow the programme management unit to understand the progress made and get insights in different aspects of the programme (success of partnerships in terms of co-financing, impact of the co-financing, (reasons for) a lack of co-financing…). Such information also contributes beyond the programme scope. It allows to reinforce and emphasize the importance of partnerships in successful cases or reveal issues of co-financing in less successful cases.
Priority Level	Important
Type of Recommendation	UNEP/UNDP-wide
Responsibility	UNEP/UNDP
Proposed implementation time-frame	Programme implementation

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Table 10: Responses to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate

Page Ref	Stakeholder comment	Evaluator Response
11	For UNDP, 16 Aug 2019 (after 36 months of signed Prodoc on 16 Aug 2016)	Checked UNDP Prodoc which was signed on 16 August 2016 and found April 2019 as intended completion date. Same for UNEP Prodoc.
41	Somewhat contradictory and not aligned to the findings in table 2 (stakeholders) above that lists all the partners (including academia and civil society), and the management responses to MTR (table 3), that this was not within the project scope.	Revised accordingly. Re. The scope, there are indications in the prodoc that these partnerships would be leveraged: "In particular, partnerships between the following groups of stakeholders would be capitalised to foster increased clarity and efficiency, to resolve conflicts/trade-offs, and to avoid redundancy: i) different levels and sectors of government within countries; ii) governments of countries sharing common interests, such as those within the same region that share similar geographic contexts and climate change impacts ; iii) the academic community and civil society; iv) technical experts; v) the private sector; and vi) local communities and marginalised people" Therefore, the evaluation team concluded the area of participation from academia and civil society groups could have been expanded.
55	We presented co-financing estimates…can you say what element of annual 'tracked' co-financing would have helpful..e.g is it time contributions from partners to the project? The analysis I gave you is not recognised in this statement….	No evidence was provided at the first stage. Included now what has been provided, namely proof of 2 projects taking place at same time and 2 of the co-financing sources ending in 2016 meaning they do not qualify as a source. The tracking of co-financing referred to tracking in the PIRs or financial reports which was absent (not mentioned what was mobilized and what not).
56	This is 6.6 million. It is more than approved 6.2 million GEF budget in Prodoc	Yes, as the estimated cost of several years were overestimated (in reality they disbursed less), the total sum of estimates is larger than the GEF budget. This is no problem as estimates are made on a yearly basis.
67	I am not sure this is fair. UNEP PIR reports reported on activities that constituted he outputs.	I extended paragraph 2 of the list in the text. This does have to be co-read with the section on monitoring design which I believe is the root cause of this problem. Reporting on activities was limited.
72	Tracking of female attendance was done and reported in PIR reports.	Have clarified the sentence. We are reporting that gender was tracked in the training (which was often global and/or regional); the tracking we see lacking was for in-country support. For example, in the preparation of NAPs.
72	Could you clarify where these strategic actions come from…	These are from the signed UNDP ProDoc - section on Mainstreaming gender
75	Again, reiterate previous comments: we should argue that the support provided by UNEP to 12 LDC countries to mobilise resources for NAP	Has been argued in co-financing section. No need for change here as the argument here is on the raised capacity.

Page Ref	Stakeholder comment	Evaluator Response
	planning are co-financing, as per definition of the GEF, since it weaves into the TOC.	
81	The timeline for implementation would all be 'during programme design' since we would not implement the recommendations outside of programme design. Therefore giving a 12 month timeline for #3 and #5 would not necessarily be actionable.	No. 3 is a broader recommendation to UNDP and UNEP to develop tools that better track capacity building in any project or programme. Point is that capacity building is tough to track and the tools for such needs to be developed. No 5 is essentially recommending UNEP and UNDP scale up the support beyond the NAP GSP programme to scale up national adaptation planning. Particularly build on what the NAP GSP has done. We recommend that this is done in the next 12 months after this TE to not lose momentum. These are opportunities. The others are recommendations to be considered for future similar programmes. We have divided the recommendations accordingly.
84	Would appreciate if you could qualify this to reflect the co-financing sources you are referring to. We did provide tracked co-finance of another sort.	Adapted wording: co-financing sources were mobilized but co-financing was not tracked consistently.

ANNEX II. PEOPLE CONSULTED DURING THE REVIEW

Organisation	Name	Position	Gender
Government of Cambodia	Mao Hak	Director of the Department of Climate Change	Male
Government of Chad	Aubin Ndodjide	Focal point for National Adaptation Plan	Male
Government of Timor Leste	Augusto Manuel Pinto	Director of the National Focal Point for UNFCCC	Male
Government of Liberia	Benjamin S. Karmorh	Chief technical advisor of environmental agency, UNFCCC focal point and formerly a LEG member	Male
Government of Haiti	Kenel Delusca	Current LEG chair and national focal point in Haiti	Male
Government of Central African Republic	Mariam Amadou Sidi	Director for adaptation	Female
UNITAR	Angus Mackay	Head of Division Planet	Male
WMO	Ilaria Gallo	Climate science officer	Female
WMO	Amir H. Delju	Senior Scientific Officer in Climate Service Branch	Male
NAP-Global Network	Christian Ledwell	Knowledge manager	Male
LDC Chair (Government of Bhutan)	Tenzin Wangdo	Technical advisor (Support to LDC Chair)	Male
UNDP	Srilata Kammila	Head of adaptation (UNDP)	Female
UNDP	Yusuke Taishi	Regional Technical Advisor	Male
UNDP	Sadya Ndoko	Technical consultant	Female
UNDP	Rohini Kohli	Lead Technical Specialist for National Adaptation Plans	Female
UNDP	Saran Selenge	Development Finance Analyst	Female
UNEP	Keith Bettinger	Climate change adaptation expert - Senior technical director for DT Global	Male
UNEP	Jessica Troni	Chief Climate Change Adaptation Unit	Female
UNEP	Mozaharul Alam	Regional Coordinator	Male
UNFCCC Secretariat	Motsomi Maletjane	Team Lead, LEG & NAP Unit - Adaptation Division	Male
GEF	Dustin Schinn	Trustee for UNFCCC	Male

Project planning and reporting documents
- Project documents (Both UNDP and UNEP individual documents)
- Project Identification Form (GEF/LDCF) and GEF Project Review Sheet
- Workplan progress tracker (2020)
- Board meeting minutes & reports: 2018, 2019, 2020 and 2021
- PIRs UNDP: 2018, 2019, 2020, 2021 and 2022
- PIRs UNEP: 2020 and 2021
- Progress update reports to LEG: 2018, 2019 and 2020
- TAG meeting minutes and reports: 2018, 2019, 2020 and 2021
- Final survey report

Project outputs work package:
- First NAPs (Burundi, CAR, Chad, DRC, Sierra Leone, South Sudan, Timor Leste, Guiding tools)
- Stocktaking reports (Angola, Benin, Burundi, Cambodia, Comoros, Congo Brazzaville, Indonesia, Ivory Coast, DRC, Liberia, Madagascar, Niger, Senegal)
- Promote NAP materials and good practices at COP (COP22, COP23 and NAP Expo 2018)
- Asia-Africa pre and post training assessment
- Training - Mainstreaming of climate change adaptation in water resource management (participant manual)
- Training - Appraisal and prioritisation of adaptation options for national adaptation planning (participant manual)
- Training - Adaptation finance (participant manual)
- Regional training for Asia - Mainstreaming of climate change adaptation in water resource management (List of participants and list of participants in gender module)
- Regional training for Pacific countries - Appraisal and prioritization of adaptation options (List of participants)
- Regional training for African countries in English - Adaptation Finance (Agenda and list of participants)
- Regional training for African countries in French - Adaptation Finance (Agenda and list of participants)
- Regional training for Asian LDCs and promotion of South-South cooperation - Appraisal and prioritization of adaptation options (Agenda, list of participants and training report)
- Regional training for Africa - Web series (Final report, four PowerPoint modules)
- Regional training - EbA and NAP planning digital course results (Guidelines)
- Knowledge exchange forum (List of participants and highlights)
- Session on research policy interface (Report)
- Country briefs (Cambodia, CAR, Guinea Bissau, Sierra Leone, South Sudan, Timor Leste, Bangladesh, Benin, Bhutan, Djibouti, DRC, Guinea, Haiti, Ivory Coast, Liberia, Mozambique, Myanmar, Nepal, Niger, Senegal, Somalia, Tanzania)
- Policy briefs (AAI and GWP)
- Technical brief (GWP)
- Articles and e-newsletters
- Webinars (Closing event, accessing GCF Readiness, Water and NAPs, raising adaptation ambition by linking NAP with NDC)

Previous reviews/evaluations
- Mid-term review and Management response to the Mid-term review
- Terminal evaluation NAP GSP LDC I

Reference documents
- Anschell, N., Salamanca, A., Bernard, V. and Aryani, S. (2022). *Human Rights in the Process of National Adaptation Planning: Insights from a review of Submitted NAPs*. Raoul Wallenberg Institute of Human Rights and Humanitarian Law, Jakarta, Indonesia
- Adaptation Gap Report (2020 and 2021)

- UNFCCC LEG Progress report to formulate and implement national adaptation plans (2021 and 2022)
- UNEP & Climate adaptation - What we do

ANNEX IV. EVALUATION MATRIX

All questions leading to an answer on the key strategic questions are marked with an *.

Dimension	Evaluation questions	Indicator	Information source	Data collection method
A. Strategic relevance				
1. Alignment to UNEP Medium Term Strategy 2018 - 2021 and the Medium-Term Strategy 2022 - 2025	• To what extent was the programme aligned to the UNEP MTS 2018 - 2021 • How have recommendations from the MTR been taken into consideration? • To what extent are the continuing programme results aligned to the MTS 2022 - 2025?	• Level of alignment between the programme and the UNEP Medium Term Strategy (MTS) and the Programme of Work • Changes in UNEP MTS since the mid-term review • Level of alignment between the continuing programme results and the MTS 2022 - 2025	• Project Document and programme planning documents • UNEP MTS 2018 - 2021 and MTS 2022 - 2025 • Mid-term review and management response	• Desk Review
2. Alignment to UNDP Strategic Plan 2018 - 2021 and Strategic Plan 2022 - 2025	• To what extent was the programme aligned to the UNDP Strategic Plan 2018 - 2021? • How have recommendations from the MTR been taken into consideration? • To what extent are the continuing programme results aligned to the UNDP Strategic Plan 2022 - 2025?	• Level of alignment between the programme and the UNDP Strategic Plan 2018 - 2021 • Changes in the UNDP Strategic Plan since the mid-term review • Level of alignment between the continuing programme results and the Strategic Plan 2022 - 2025	• Project Document and programme planning documents • UNDP Strategic Plan 2018 - 2021 and Strategic Plan 2022 - 2025 • Mid-term review and management response	• Desk review
3. Relevance to National Environmental Priorities	• To what extent is the programme responding to the national and sub-national environmental and climate change adaptation needs and priorities, including institutional structures?	• Level of alignment with the regional framework • Level of appreciation from national stakeholders with respect to programme adequacy to national priorities	• Non-national policy documents under UNFCCC, UNCCD's National Action Programme and the CDB National Biodiversity Strategic Action Plans • Focal points from beneficiary countries (Cambodia, Central African Republic, DRC, Chad, Haiti, Liberia, Sierra Leone, South Sudan, and Timor Leste) • Survey results	• Desk review • Stakeholder interviews • Survey

Dimension	Evaluation questions	Indicator	Information source	Data collection method

4. Complementarity with Existing Interventions	• To what extent does the programme complement other interventions strengthening the capacity of LDCs to advance medium and long-term climate change adaptation planning?
	• How have recommendations regarding complementarity from the MTR been taken into consideration?
		• Level of complementarity between the programme and other interventions strengthening the capacity of LDCs to advance medium and long-term climate change adaptation planning, in terms of:
		  o Mutual benefits
		  o Synergies
		  o Avoidance of duplication
		• Existence of clear coordination and linkages between the programme activities and other initiatives
		• Evidence of comparative advantage of UNDP and UNEP compared to other interventions
		• Changes in complementarity and coordination since mid-term review.
			• Project Document and programme planning documents
			• Combined UNDP/UNEP programme highlights report
			• Progress reports (PIR) and monitoring reports
			• Agricultural NAP project (FAO and UNDP), PRRP (UNDP and LLEE), ADMIRE, Boots Programme, GCF Readiness Programme and USAID ADAPT.
			• Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP)
				• Desk review
				• Stakeholder interviews

5. Alignment with the UNFCCC COP Priorities	• To what extent is the programme aligned to UNFCCC COP priorities? • Does the programme continue to align with the UNFCCC COP priorities since MTR?	• Level of alignment between the programme and UNFCCC COP priorities • Changes in alignment since mid-term review.	• Project Document and programme planning documents • Combined UNDP/UNEP programme highlights report • Progress reports (PIR) and monitoring reports • Mid-term review • LEG Report on Progress in the process to formulate and implement national adaptation plans (UNFCCC) • Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP)	• Desk review • Stakeholder interviews
B. Quality of programme design				

6. Quality of programme design	• To what extent was the programme design internally coherent, and relevant within a broader external context (such as Covid, COP processes, Economic crisis)?
	• How was the bi-modal implementation model structured?*
		• Indicators as in programme design quality template
		• Level of complementarity in the design of the bi-modal implementation model in terms of:
		  o Mutual benefits
		  o Synergies
		• Extent to which recommendation of Mid-term review have led to changes
			• Project Document and programme planning documents
			• Progress reports (PIR) and monitoring reports
			• Combined UNDP/UNEP programme highlights report
			• Mid-term review
				• Desk review

Dimension	Evaluation questions	Indicator	Information source	Data collection method
	• How have recommendations from the MTR been taken into consideration in programme design?			
C. Nature of external context				C.

7. Nature of external context	• What external factors (such as Covid, COP decisions and LEG reports) have affected programme performance since MTR?
	• How were recommendations on risks and external factors from the MTR taken onboard?
		• Number and types of global risks the programme faced
		• Mitigation measures identified and implemented
			• Number and types of risks as mentioned in:
			  o PIR
			  o COP processes and decisions
			  o LDC Expert Group - Progress report on NAPs
			
			• Mitigation measures identified and implemented in PIRs
			• Programme staff (incl. external)
			• Focal points from beneficiary countries
				• Desk review
				• Stakeholder interviews

D. Effectiveness				
8. Delivery on outputs	• Has the programme been effective in achieving the planned outputs and milestones as per defined in the ProDoc and/or revised following the MTR?	• Number and type of outputs delivered against the log frame's final targets • Quality of outputs delivered	• Project Document and programme planning documents • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Workshop reports • Mid-term review • Final survey of the programme NAP-GSP for LDCs	• Desk review

Dimension	Evaluation questions	Indicator	Information source	Data collection method
9. Achievement of direct outcomes	• Are the outputs contributing to the achievement (or expected) of programme's outcomes? • Were the capacities of the LDCs enhanced? (Outcome 1)* • Has the programme been effective in providing tools and approaches to all LDCs? (Outcome 2)* • Has the programme been effective in capturing, sharing, and sustaining knowledge on the NAP process? (Outcome 3)* • What are the main reasons behind the level of achievement of the outcomes (*the why* per outcome)?*	• Change in institutional and technical capacity of LDCs to start and/or advance their NAP process • Number of tools and approaches provided to (number of) LDCs • Methods and systems set up and implemented to capture, share, and sustain knowledge among LDCs • Types of drivers and barriers behind level of achievement of outcomes	• Project Document and programme planning documents • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Workshop reports • Mid-term review • Final survey of the programme NAP-GSP for LDCs • Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP) • Focal points from beneficiary countries	• Desk review • Stakeholder interviews
10. Likelihood of Impact	• Is the programme progressing toward achievement of intended impacts?* • What is the likelihood that the programme results will increase adaptive capacities and reduce vulnerabilities to climate change?* • Have lessons learned and experiences been shared across the program between stakeholders and to a wider audience? • Were communication channels and networks used effectively?	• Number of project proposals supporting the NAP process prepared for different types of financing • Evidence and extent of barriers or enabling conditions toward achievement of impact indicators (examples) • Evidence of programme playing a catalytic role • Evidence and examples of long-term scaling up or replication • Nature and likelihood of adverse environmental, social, and economic effects from the programme	• Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Final survey of the programme NAP-GSP for LDCs • Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP) • Focal points from beneficiary countries	• Desk review • Stakeholder interviews
E. Efficiency				

Dimension	Evaluation questions	Indicator	Information source	Data collection method
11. Quality of programme management and stakeholder engagement	• Was the quality and responsiveness of the PMU (UNEP and UNDP) timely, sufficient, and adequate (managing team structures, maintaining relationships, risk management, problem solving)? • Were stakeholders generally collaborative (sharing plans, pooling resources, and exchanging learning)? • Did collaboration and planning of programmes include marginalized groups (for example indigenous peoples and including women)?	• Evidence of adaptive management based on discussions and feedback from stakeholders over the course of the programme implementation. • Number and evidence of marginalized groups involved in programme activities. • Evidence of country ownership and driven-ness by participating countries and stakeholders.	• Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Final survey of the programme NAP-GSP for LDCs • Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP) • Focal points from beneficiary countries	• Desk review • Stakeholder interviews • Survey
12. Financial management	• Was the programme expenditure in line with the approved budget? • Was the rate of disbursement consistent with the work plan, the length of implementation to date and the outputs delivered? • Did the programme comply with financial reporting and/or auditing requirements/ schedule, including quality and timeliness of reports?	• Programme expenditure against planned budget • Budget execution per year, component, and output, against total budget • Proportion and types of financial reporting and/or auditing materials submitted a) correctly and b) on time • Quality of financial reporting/auditing materials	• Project Document and programme planning documents (planned budget) • Financial management reports and procurement plans • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Consolidated financial information/reports of UNDP and UNEP	• Desk review
13. Cost-effectiveness	• To what extent were the outputs being achieved in a cost-effective manner? • What could have been the cost saving measures to put in place to maximize results?	• Evidence of use of financially sound practices for programme execution and management • Level of appreciation of the cost effectiveness by the programme team	• Financial management reports and procurement plans • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Programme staff (incl. external) • Focal points from beneficiary countries	• Desk review • Stakeholder interviews

Dimension	Evaluation questions	Indicator	Information source	Data collection method
14. Timeliness	• Were the timing and sequence of activities realistic and contributing to efficiency of implementation?	• Timing and sequence of outputs against work plan • Nature and total delays (in months) generated by implementation bottlenecks • Level of appreciation of the timeliness by the programme team	• Project Document and programme planning documents • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP) • Focal points from beneficiary countries	• Desk review • Stakeholder interviews
15. Adaptive management	• How were recommendations on cost- and time-effectiveness from the MTR taken onboard? • How have key lessons learned from the programme been incorporated during implementation?	• Number and nature of measures implemented to enhance cost- and time-effectiveness • Likelihood and effect of factors likely to enhance or hinder efficiency • Number and nature of measures implemented based on lessons/recommendations from the previous phase and the mid-term review	• Project Document and programme planning documents • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP) • Focal points from beneficiary countries	• Desk review • Stakeholder interviews

16. Complementarity	• Did the bi-modal implementation model of UNDP and UNEP enhance the efficiency of the programme?*
	• Was the implementation model complementary?*
	• Have the programme been complementary to other projects (specifically considering MTR recommendations)?
		• Level of complementarity of UNEP and UNDP in implementing the programme, in terms of:
		  o Mutual benefits
		  o Synergies
		• Level of appreciation of the complementarity by focal points from beneficiary countries
		• Level of complementarity and collaborations based on MTR recommendations.
			• Project Document and programme planning documents
			• Progress reports (PIR) and monitoring reports
			• Combined UNDP/UNEP programme highlights report
			• Mid-term review
			• Programme staff (incl. external) and partner organizations (UNITAR, WMO, NAP-Global Network and GWP)
			• Focal points from beneficiary countries
				• Desk review
				• Stakeholder interviews

F. Monitoring and reporting				
17. Monitoring design, budgeting, and operationalization	• Was the monitoring plan well-conceived, and sufficient to monitor results and track progress toward achieving programme outputs and outcomes?	• Existence and quality of the monitoring plan • Number and nature of changes to the design of the monitoring plan based on lessons/recommendations from the mid-term review	• Project Document and programme planning documents • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report	• Desk review

Dimension	Evaluation questions	Indicator	Information source	Data collection method
	• Were indicators SMART? • Were changes made to the log frame or monitoring practices since the mid-term review? • Was the monitoring budget sufficient?		• Mid-term review	
18. Programme reporting	• Did the programme comply with the progress documentation and monitoring reporting requirements/ schedule, including quality and timeliness of reports? • What (if any) corrective actions were taken in response to monitoring reports (such as PIRs) and the mid-term review?	• Types and quality of reporting materials submitted a) correctly and b) on time • Evidence of management response/changes in programme strategy/approach as a direct result of information in monitoring reports and the mid-term review	• Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Programme staff (incl. external)	• Desk review • Stakeholder interviews
G. Sustainability				
19. Exit strategy	• Is there an appropriate exit strategy, including measures to mitigate risks to sustainability, in place? • To what extent is the programme playing a catalytic role or is promoting longer-term scaling up and/or replication* • What (if any) corrective actions were taken in response to the mid-term review on risks to sustainability of interventions?	• Existence and quality of a plan to manage financial, socio-economic, institutional, governance and environmental risks • Existence and quality of an exit strategy • Degree of coherence between actions taken during implementation to avert sustainability risks and prepare programme exit, and intended plan • Number and nature of measures implemented based on lessons/recommendations from the mid-term review	• Project Document and programme planning documents • Exit strategy • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Mid-term review • Programme staff (incl. external)	• Desk review • Stakeholder interview
20. Socio-political sustainability	• Are there any political and social framework conditions that could favor/hinder sustainability of the programme results?	• Extent to which political and social framework conditions favor or hinder the sustainability of the programme results (considering COP decisions and external factors).	• Project Document and programme planning documents • Exit strategy • Progress reports (PIR) and monitoring reports	• Desk review • Stakeholder interview

Dimension	Evaluation questions	Indicator	Information source	Data collection method
			• Combined UNDP/UNEP programme highlights report • Final survey of the programme NAP-GSP for LDCs • Programme staff (incl. external) • Focal points from beneficiary countries	
21. Financial sustainability	• Are budgets (re)allocated towards adaptation, and the NAP process?* • What are the potential finance opportunities for the NAP process of beneficiary countries (considering COP27)?	• Evidence of budget allocation towards adaptation and the NAP process? • Level of appreciation of the focal points of beneficiary countries on the integration of adaptation, and in particular the NAP process, within budgets • Evidence of potential financial opportunities provided or created	• Exit strategy • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Final survey of the programme NAP-GSP for LDCs • Programme staff (incl. external) • Focal points from beneficiary countries	• Desk review • Stakeholder interview
22. Institutional sustainability	• Is adaptation integrated in national development planning within the ministries of finance and/or development planning?*	• Number and type of arrangements integrating adaptation and the NAP process in national development planning • Level of appreciation of the focal points of beneficiary countries on the integration of adaptation, and in particular the NAP process, within national development planning • Likelihood and effect of institutional impact continuing after programme closure	• Project Document and programme planning documents • Exit strategy • Progress reports (PIR) and monitoring reports • Combined UNDP/UNEP programme highlights report • Final survey of the programme NAP-GSP for LDCs • Programme staff (incl. external) • Focal points from beneficiary countries	• Desk review • Stakeholder interview

ANNEX V. AVAILABILITY OF OUTPUT ANALYSIS

Expected output	Status and achievement
Output 1.1: Tailored one-on-one support to LDCs to initiate or advance their NAP process, including but not limited to, support to develop NAP roadmaps.	All LDCs were given the opportunity to request support from the Expanded NAP GSP and based on the official request received a database containing all requests was planned to be developed. This database was ultimately not developed, but instead the NAP GSP LDC II team followed up by developing individualized terms of reference based on all official requests made. Under output 1.1 the following activities were planned: - Conduct a stocktaking of completed/ongoing initiatives and undertake stakeholder consultations to identify gaps and needs in key institutional and technical capacities required for the NAP process. Stock-taking can also include gender analyses and sectoral or thematic assessments. - Facilitate inter-ministerial dialogue and in-country training – to key national and sub-national institutions – on integrating climate change into medium- and long-term planning. - Formulate NAP roadmaps in consultation with relevant national stakeholders. These stakeholders should include women's groups. - Provide tailored, in-depth follow-up support to requesting LDCs in areas such as adaptation appraisal, applying gender analysis to ongoing programmes and climate information and modelling to support countries that are more advanced in the NAP process. This support can also include sectoral or thematic assessments to assess the feasibility of adaptation options to be scaled up through financing sources such as the GCF. **Target exceeded:** Under output 1.1, Surpassing the target of 20 countries, 28 LDCs have been supported by conducting stocktaking, sensitization activities, supporting efforts to integrate climate change adaptation into budgets and plans, formulate NAP roadmaps and work-plans. Furthermore, the NAP GSP LDC II also undertook appraisal and prioritization of adaptation options through cost-benefit analysis and/or multi-criteria analysis, did foundational work to enable these countries to leverage domestic, GCF, and other sources of finance to further advance the NAP process and implementation (Benin, Bangladesh, Bhutan, Burundi, Cambodia, Chad, Central African Republic (CAR), Democratic Republic of Congo (DRC), Djibouti, Gambia, Guinea, Guinea Bissau, Haiti, Liberia, Madagascar, Mozambique, Myanmar, Nepal, Niger, Senegal, Sierra Leone, Somalia, South Sudan, Tanzania, Timor Leste, Uganda, Vanuatu and Zambia).[54] Moreover (in reference to the same countries above): - 17countries were supported to undertake scoping and prioritizing of NAP activities and accessing the GCF NAP readiness window (Bangladesh, Benin, Bhutan, Burundi, DRC, Djibouti, Guinea, Guinea Bissau, Haiti, Liberia, Madagascar, Mozambique, Niger, Senegal, Somalia, and Tanzania). - Cambodia was supported for the approval of their NAP project through their direct access modality.

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[54] Countries in **bold** have received the 'general' tailored support, but not any of the specific support mentioned further below.

Expected output	Status and achievement
	- 7 countries have been supported in the formulation of an initial NAPs (Burundi, CAR, Chad, DRC, South Sudan, Sierra Leone and Timor Leste). This type of support was not envisioned during the project design phase, yet, based on a specific LEG request, the NAP GSP team adapted and provided support for NAP formulation as well. - 2 countries have been supported in reviewing their NAP (Liberia and Haiti). This output was led by UNDP.
Output 2.1: Training packages – including tools, methods, and guidelines – developed for LDCs to advance their NAP process.	Under output 2.1 the following activities were planned: - Undertake a survey directed at LDCs to identify newly emerging priority training needs for the NAP process. - Identify new and existing training materials, methods, and tools (building on those identified during the first phase of NAP GSP LDC II and including those tools that have since been developed), which could be used for advancing the NAP process and adapt them for LDCs. - Promote the use of existing training materials, methods, and tools through intergovernmental processes (e.g., side events at SBIs/SBSTAs and NAP Expo) and the knowledge and information systems established though Output 3.1. to further the NAP process in LDCs. - Develop training packages, including existing/adapted tools methods and guidelines, for specific priority needs identified. **Targets exceeded:** under Output 2.1, all activities have been implemented as planned by the end of project closure. As of June 2021, 3 comprehensive training packages in four languages were developed, which is one more than initially targeted. These three training packages are: a) Keeping the Taps Running in a Changing Climate - Mainstreaming Climate Change Adaptation into Water Resources. b) Making the Right Choices - Prioritizing Adaptation Options. c) Finding the Money - financing climate action. In addition, this output also yielded: (a) an Open Online Course on Gender and Environment; (b) Guidelines for Integrating Ecosystem-based Adaptation into National Adaptation Plans: Supplement to the UNFCCC NAP Technical Guidelines; and (c) an E-training course on NAPs "Mastering National Adaptation Plans (NAPs) - From Start to Finish" This output was led by UNEP.
Output 2.2: National technicians from LDCs trained on assessing long- term	Under output 2.2 the following activities were planned: - Organise regional targeted training workshops for: (i) national technicians from planning and finance ministries on adaption planning and climate change finance; and (ii) national technicians from climate change vulnerable sectors, such as agriculture and water, on long-term vulnerability assessments and identification of appropriate adaptation options.

Expected output	Status and achievement
vulnerability to climate change and relevant adaptation options through targeted training workshops.	- Disseminate the training materials and information generated through the regional training workshops on the NAP-GSP website. **Target reached:** As of June 2021, the target was surpassed. The target was to increase technical knowledge of 141 national technicians from all 47 LDCs (at least 3 technicians per country), where at least 40% should be women. In all, the NAP GSP LDC II built capacity of 276 government technicians/experts from 40 LDCs of which 39% (106 women). This was done through 7 targeted trainings which, was also one more than initially planned. These trainings included: a) Regional Training on Accelerating National Adaptation Plans and Integrating Transboundary Climate Risks into the NAP Process; b) Regional Training Workshop for African LDCs; c) Regional Training Workshop for Pacific LDCs; d) Regional Training Workshop for the Pacific LDCs on appraisal and adaptation finance; e) Africa Regional Training Workshop on Adaptation Finance; f) Pacific Regional Training Workshop on appraisal and prioritization of options for adaptation planning; g) NAP-GSP Regional Training Workshop - Asia - Mainstreaming climate change adaptation into water resources This output was led by UNEP.
Output 3.1: Information from North and South experiences, good practices, and lessons of relevance to medium- to long-term national, sectoral, and local planning and budgeting processes are captured, synthesised, and made available to all LDCs.	Under output 3.1 the following activities were planned: - Promote thematic discussions through existing networks – such as APAN and AAKNet – by identifying topics for discussion and appointing facilitators. - Develop knowledge products with good practices and case studies for medium- to long-term adaptation planning. - Synthesise information generated through the NAP-GSP activities and share this information through quarterly newsletter, networks, websites and LISTSERVE. - Share NAP good practices inside events during COP and/or SBs and at NAP Expo. **Achieved.** This output is difficult to measure given the indicators determined in the project's results framework, which do not reflect all of the activities under this output. It is observed that several knowledge products were produced to help disseminate and share lessons learned: - A flagship publication on supplementary guidelines to the LEG NAP Technical guidelines on integrating EbA into NAPs - 21 LDCS features in 'NAP in focus' Country Case Studies (Bangladesh, Benin (French and English), Bhutan, Burundi (French and English), Cambodia, CAR, Djibouti, DRC (French and English), Guinea, Guinea Bissau, Haiti (French and English), Liberia, Madagascar (French and English), Mozambique, Nepal, Niger (French and English), Senegal, Sierra Leone, Somalia, South Sudan, and Timor Leste.). As such the indicators that 10 case studies would be produced is reached. - An e-compendium that assembles and synthesizes all NAP-GSP LDC II training materials and related e-modules - 20 News articles

Expected output	Status and achievement

	- 5 NAP regional briefings (Africa, Asia and the Pacific, Caribbean, Latin America and MENA),
	- Series of stocktaking reports (15 in all): Angola, Benin, Burundi, Cambodia, Comoros, DRC, Liberia, Madagascar, Niger, Senegal.
	- Two policy briefs i.e.
	    o Appraisal of Adaptation Options and Sector Prioritization, and
	    o Developing Bankable Project Proposals on Climate Change Adaptation also developed.
	NAP-GSP participation or support to online communities was provided: One e-newsletters was distributed, pre-and post-training assessments conducted for participants in face-to-face trainings as well as online training, a survey of participants in e-tutorials/web-based training was developed, conducted and monitored to gauge interest and/or uptake of lessons learned. However, it is difficult to say whether "70 percent of the participants in the online thematic discussions, web-based trainings and webinars report interest and/or uptake of lessons learned and best practices shared." Though the survey distributed at programme closure showed 73 percent reported interest and/or raised uptake of lessons learned and best practices, the response rate was low (9%; n40 from 19 LDCs).
	
	This output was jointly managed by UNEP and UNDP.

Output 3.2: **Develop exit strategy for knowledge sharing and sustaining North-South, South-South, and an extended network of partners' cooperation.**	Under output 3.2 the following activities were planned: - Synthesize lessons learned and experience gained through the NAP-GSP to inform NAP training modules, in collaboration with NAP-GSP partners - Work with regional platforms for South-South face to face and virtual exchange for science/policy interface, adaptation knowledge exchange and climate finance issues. - Develop web-based training materials, which will continue to be available after the project finishes, for the NAP process with partner institutions such as UNITAR. - Host webinars and knowledge exchange forums (in collaboration with regional knowledge platforms) to disseminate technical expertise. - Identify entry points and formulate business cases for private sector involvement in NAP processes in at least 3 applicable LDCs – coordinating with the platform for public-private partnership established through the SCCF NAP GSP "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)" – and share lessons learned. **Achieved.** Though no clear indicator existed for measuring this output, the evaluators assess that it was achieved through analysis of the evaluative evidence. The measures deployed to ensure the sustainability of the programme as well as the broader impact of the programme indicates an exit strategy is in place that sustains knowledge and partnerships. Two closing events were organized respectively for Anglophone and Francophone LDCs. The events aimed to celebrate the achievements, reflect on the lessons learned and discuss opportunities to continue to advance adaptation planning in NAP-GSP supported countries beyond programme closure. The website also remains as a knowledge portal with all the data, information, guidelines, webinars etc. generated. At project closure it received about 1,380 unique visitors on average a month. The partnerships build remains, and some work will continue to be carried out This output was led by UNDP.

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

VII.   Section I: PROJECT BACKGROUND AND OVERVIEW

A. Project General Information

Table 1. Project summary

GEF Project ID:	*5868*	**GEF Agency Project ID:**	UNEP: 1306 UNDP: 5399
Implementing Agencies:	UNEP and UNDP	**Executing Agency:**	UN environment Regional Office for Asia and the Pacific (ROAP)
Sub-programme:	Climate Change	**Other Executing Partner(s):**	UNDP, IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries
UN Environment approval date:	27 May 2016	**UNDP approval date:**	
GEF approval date:	March 2015	**Project type:**	Full Size Project (FSP)
GEF Operational Programme #:	Climate change adaptation	**Focal Area(s):**	Climate Change (Adaptation)
Trust Fund	Least Developed Countries Fund	**Executing Agency/ Implementing Partner:**	UN Environment /ROAP, UNDP
***Expected* start date:**		**Actual start date:**	30 October 2016
***Planned* completion date:**	April 2019	**Actual completion date:**	30 December 2021
Cost to the LDCF:	USD 6,200,000	**Actual total expenditures reported as of October 2022:**	USD
***Planned* project budget at approval:**	USD 19,900,000	**Secured Full-Size Project co-financing as of December 2021**	
Project Preparation Grant:	USD 150,000	**Project Preparation Grant - co-financing:**	N/A
No. of revisions:	2	**Date of last revision:**	March 2021
No. of Project Board Meetings:	4	**Date of last Project Board meeting:**	February 2019
Mid-term Review/ Evaluation *(planned date):*	Q1. 2016	**Mid-term Review/ Evaluation (actual date):**	Q2. 2018
Terminal Evaluation *(planned date):*	Q1 2022	**Terminal Evaluation (actual date):**	Q4 2022
Coverage:	LDC Developing Countries	**Coverage - Region(s):**	Global

B. Project rationale

Climate change and associated climate variability will negatively affect future development trajectories and thus pose a serious challenge to poverty reduction and sustainable development efforts around the world. These effects and challenges of climate change are expected to be most notable in Least Developed Countries (LDCs). LDCs have made some progress towards addressing the most urgent and immediate effects of climate change through initiatives such as National Adaptation Programme of Actions (NAPAs), as well as through advancement on poverty reduction and Millennium Development Goals (MDGs) over the last decade. However, these countries now need to integrate medium- to long-

term planning for climate change into the framework of national development priorities. The National Adaptation Plan (NAP) process, established under the Cancun Adaptation Framework, is a means to address this need.

A request was made the Parties to UNFCCC at the Durban COP-17 for United Nations agencies to consider support mechanisms to assist LDCs to advance their NAP processes. In response to this request, a Global Support Programme (GSP) was established in June 2013 by UNDP and UNEP – financed by LDCF – titled "Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAP-GSP Phase I)". After successful implementation of NAP-GSP Phase I, GEF has agreed to second phase of NAP-GSP called "Expend the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).

The first phase of the NAP-GSP for LDCs (2013-2015), with support of the LDCF, was launched in December 2013 at COP19 in Warsaw, Poland for a total budget of USD 2 million. An expanded second phase of the Programme "Expanding Ongoing Support to least developed countries (LDCs) 2016-2019", with support from the Least Developed Countries Fund (LDCF), was launched in November 2016 at COP22 in Marrakech, Morocco.

Objective:

The objective of the programme is to further strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process. This will assist LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The programme objective will be achieved by: i) expanding technical support such that at least twenty additional LDCs benefit from tailored one-on-one support; ii) building on the Ongoing NAP GSP project to further develop and disseminate tools and methodologies that support important steps of the NAP process in LDCs; iii) organising an additional six targeted training workshops on key elements of the NAP process; and iv) further facilitating the exchange of knowledge and lessons learned – through South-South and North-South cooperation – with a view to enhancing the capacity for advancing the NAP process within LDCs.

The project was intended to address barriers to adaptation planning, as follows:

Climate-resilient development planning is not currently 'business-as-usual' for national development planners and economic-decision-makers.
To date, the discussion on NAPs has pointed overwhelmingly to the need for climate-resilient planning and budgeting to be embedded within the existing annual/periodic planning and budgeting processes of respective countries. The highest levels of political support and consensus will be required to advance an integrated approach to prevent the NAPs from becoming another stand-alone process.

The multi-faceted and complex nature of climate change impacts is not well understood.
Where medium- to long-term planning processes for adaptation in LDCs do exist6, they seldom holistically consider the multiple risks and stresses affecting human, social, physical, natural and financial capital. Moreover, there is limited consideration of how livelihood options may change in response to the effects of climate change, and how development plans in turn may be affected.

Weak horizontal (cross-sectoral) and vertical (national/sub-national) coordination.
 In LDCs, weak cross-sectoral coordination for advancing climate change adaptation planning for the medium- to long-term within the context of national development strategies is a notable barrier to advancing the NAP process. In some countries, a few sectors have made progress in addressing climate risk, but on the whole, the progress of comprehensive risk management approaches across the whole of government, remains uneven. This affects also the pace and progress of cross-sectoral coordination.

Limited financing for appropriately trained personnel in key public sector institutions, who have the skills and mandates needed to support climate resilient planning, and financing.

Innovation is necessary to diversify sources of funding and create new revenue streams for adaptation. Understanding and overcoming barriers to attracting private capital flows to support adaptation is therefore very important for many developing countries.

Insufficient policy guidance
Many LDCs currently experience low diffusion and poor application of policy guidance as they are transitioning from urgent and immediate adaptation actions to medium- to long-term adaptation planning and budgeting.

Limited availability of evidence-based methodologies and tools.
Currently, there is limited availability of knowledge on evidence-based good practices for assessing: i) economic and social vulnerability to current and future climate change; ii) adaptation needs that are aligned with green growth and poverty reduction objectives; and iii) economically and socially viable development options in the context of uncertainty in the medium to long term. Data collection and use for adaptation planning is hindered by inadequate institutional structures. There is a need to develop, pilot and institutionalise tools for screening investments plans and projects to include adaptation needs.

Few political champions for the NAP process.
There are few individuals within LDC governments that have the political influence and technical capacity to champion the NAP process. Indeed, awareness of – and engagement in – climate change adaptation among leaders remains limited. As a result, there is inadequate local and national leadership to guide the adaptation process.

Limited awareness, communication and knowledge-sharing of the NAP process among LDCs.
Currently in LDCs, there are few systems for communication and awareness-raising regarding medium- to long-term planning for adaptation to climate change. Moreover, there is an insufficient South-South and North-South knowledge- and experience-sharing, which is relevant for advancing the NAP process – including climate resilient planning and budgeting – in LDCs.

The programme was structured around three areas of support: i) tailored one-on-one country support to LDCs (activities led by UNDP); ii) developed tools and targeted regional training workshops (activities led by UNEP); and iii) knowledge brokering (jointly implemented by UNDP-UNEP).

Component 1: LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (UNDP).Under the first component, at least 20 LDCs, including new countries, are being assisted upon request to strengthen their existing institutions for the development of NAP roadmaps and advancement of their NAP process in accordance with their needs.

Component 2: Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs (UNEP). Under the second component, thematic training packages are being prepared and focused regional trainings are being provided on tools and methodologies that support key steps in the NAP process.

Component 3: Knowledge on advancing the NAP process is captured, shared and sustained (UNDP and UNEP). Under the third component, the exchange of knowledge on lessons learned is being further facilitated with the view to enhancing the capacity of LDC governments to advance their NAP process. A strategy to maintain the knowledge-sharing beyond the project duration will be developed at the end of the project.

A mid-term review was completed in May 2019.

C. Project objectives and components

The objective of the programme is to further strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process. This will assist LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. Table 2 below presents a summary of the results framework of this project:

Table 2. Results framework

o Objective	o Indicator	o
To strengthen the institutional and technical capacities of LDCs to start and/or advance their National Adaptation Plan process o	o Change in institutional and technical capacity of LDCs to start and/or advance their NAP process.	o
o Outcome	o Indicators	o Outputs
o 1. LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (led by UNDP)	o Number of LDCs receiving tailored support to advance their NAP. o	o 1.1 Tailored one-on-one support to LDCs to initiate or advance their NAP process, including but not limited to, support to develop NAP roadmaps
o 2. Tools and approaches to support and implement elements of National Adaptation Plan process are accessible to all LDCs (led by UN Environment)	Number of LDCs o capacitated with increased knowledge of tools and methods available to advance the NAP process. o o Number of regional targeted training workshops conducted. o Percentage of participants in the regional targeted training workshops that are women.	2.1 Training packages – including tools, methods and guidelines – developed for LDCs to advance their NAP process. o o 2.2 National technicians from LDCs trained on assessing long- term vulnerability to climate change and relevant adaptation options through targeted training workshops
o 3. Knowledge on advancing the NAP process is captured, shared and sustained	o Number of training packages developed/updated for LDCs to advance their NAP process. o Number of case studies for medium- to long-term adaptation planning developed.	o 3.1 Output 3.1 Information from North and South experiences, good practices and lessons of relevance to medium- to long-term national, sectoral and local planning and budgeting processes are captured, synthesized and made o o 3.2 Develop exit strategy for knowledge sharing and sustaining North-South, South-South, and an extended network of partners' cooperation

D. Executing Arrangements

The programme is jointly implemented by the United Nations Environment Programme (UN Environment) (LDCF = USD 2.4 million) and the United Nations Development Programme (UNDP) (LDCF = USD 3.8 million). Two project documents, approved by the LDCF, outline the distinct responsibilities of each agency within a common logical framework. Outcome 1 and Outcome 3/Output 3.2 are implemented by UNDP. Outcome 2 and Outcome 3/Output 3.1 are implemented by UNEP. For UNDP the programme is

executed by UNDP-Bangkok Regional Hub (BRH)55, while for UN Environment the programme is executed by UNEP Regional Office for Asia and the Pacific (ROAP)56. BRH and ROAP are responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, organization of regional and national workshops for the respective outcomes and outputs. Related costs of UNDP-BRH and UNEP ROAP services are borne from the Project Management Cost budget. The operational structure includes a Project Board (PB), a Technical Advisory Group (TAG) and a Technical Support Unit (TSU).

The operational structure includes a Project Board (PB), a Technical Advisory Group (TAG) and a Technical Support Unit (TSU).

Figure 1: Project operational structure
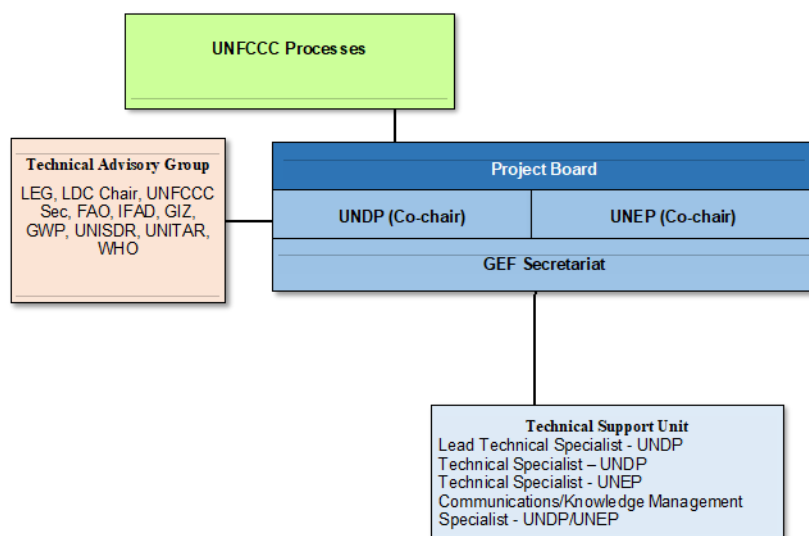
VIII. <u>Section II. OBJECTIVE AND SCOPE OF THE EVALUATION</u>

A. Key Evaluation principles

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

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

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55 UNDP-GEF has delegated spending authority to the BRH, the budget will be set up by UNDP-GEF under B0441 BRH B-dept. UNDP-GEF approves the budget, and UNDP-BRH spends within the approved spending limits established by UNDP-GEF.
56 UN Environment Division for Programme Implementation (DEPI) delegates spending authority to ROAP through annual sub-allotments and UN Environment Climate Change Adaptation Unit (CCAU) monitors expenditures and process sub-allotments. UNEP CCAU approves on a yearly basis the budget that UNEP ROAP can spend within the approved spending limits.

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

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

B. Objective of the Evaluation

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

In line with the UN Environment Evaluation Policy[57], the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

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

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

C. Key Strategic Questions

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

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

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[57] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx

To what extent did the project improve capacities for adaptation planning?
To what extent was this extended NAP planning project an added value to the first and in what main ways did it add value?

D. Evaluation Criteria

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

Strategic Relevance

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

Alignment to the UNEP Medium Term Strategy[58] (MTS) and UNDP Strategic Plan[59]
The evaluation should assess the project's alignment with the UNEP MTS and UNDP Strategic Plan for the period under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant strategic priorities and programmes of work.

Relevance to Regional, Sub-regional and National Environmental Priorities
The evaluation will assess the extent to which the intervention is suited/responding to the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented.

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

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

Factors affecting this criterion may include:
Stakeholders' participation and cooperation
Responsiveness to human rights and gender equity
Country ownership and driven-ness

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[58] UN Environment's Medium-Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.
[59] The Strategic Plan sets out the direction for UNDP, optimized to help countries achieve the eradication of poverty and significant reduction of inequalities and exclusion

Quality of Project Design

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

Factors affecting this criterion may include (at the design stage):
Stakeholders participation and cooperation
Responsiveness to human rights and gender equity

Nature of External Context

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

Effectiveness

Delivery of Outputs

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

Factors affecting this criterion may include:
Preparation and readiness
Quality of project management and supervision[60]

Achievement of Direct Outcomes

The achievement of direct outcomes (the use/uptake/adoption/application of an output by intended beneficiaries, observed as changes in institutions or behaviour, attitude or condition) is assessed as performance against the direct outcomes as defined in the reconstructed[61] Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in (a), above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between the intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP/UNDP 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised.

Factors affecting this criterion may include:
Quality of project management and supervision
Stakeholders' participation and co-operation

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

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

Responsiveness to human rights and gender equity
Communication and public awareness

Likelihood of Impact

Based on the articulation of longer-term effects in the reconstructed TOC *(i.e. from direct outcomes, via intermediate states, to impact)*, the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-term impacts. The UNEP Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, (https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach/theory-change) and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC have held. Whereas the GEF M&E Policy emphasizes a project's or program's global environmental benefits, the LDCF/SCCF requires analysis of a project's adaptation benefits. With regard to Impact, the evaluation will focus on the project's contributions to increasing adaptive capacities and reducing vulnerabilities to climate change effects among the participating countries.

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

The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication[62] as part of its Theory of Change, and the factors that are likely to contribute to longer term impact.

Ultimately UNEP, UNDP and their partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by the Sustainable Development Goals[63] and/or the high-level results prioritised by the United Nations Framework Convention on Climate Change (UNFCCC), Hyogo Framework for Action (HFA), GEF Global Support Programme, Green Climate Fund (GCF), etc.

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[62] *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer-term objective of pilot initiatives. *Replication* refers to approaches being repeated, or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.
[63] A list of relevant SDGs is available here https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach/sustainable-development-goals

Factors affecting this criterion may include:
Quality of Project Management and Supervision (including adaptive management)
Stakeholders participation and co-operation
Responsiveness to human rights and gender equity
Country ownership and driven-ness
Communication and public awareness

Financial Management

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

Factors affecting this criterion may include:
Preparation and readiness
Quality of project management and supervision

Efficiency

In keeping with the OECD/DAC definition of efficiency the evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the **cost-effectiveness** and **timeliness** of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

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

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

Factors affecting this criterion may include:
Preparation and readiness (e.g. timeliness)
Quality of project management and supervision
Stakeholders participation and cooperation

Monitoring and Reporting

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

a)   Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART[64] indicators towards the delivery of the project's outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

b) Monitoring of Project Implementation

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

c) Project Reporting

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

In addition to UNEP and UNDP reporting requirements, the evaluation will assess the extent to which SCCF reporting commitments have been fulfilled. LDCF/SCCF M&E policy requires that the established RBM Framework is observed for adaptation activities; in this regard, the evaluation will assess the quality of reporting against the Adaptation Monitoring and Assessment Tool (AMAT) as a basis for enhanced results-based management (RBM) of climate change adaptation under the SCCF.

Factors affecting this criterion may include:
Quality of project management and supervision
Responsiveness to human rights and gender equity (e.g. disaggregated data and indicators)

Sustainability

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

a) Socio-political Sustainability

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

b) Financial Sustainability

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

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[64] SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

c) **Institutional Sustainability**

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

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

d) **Environmental Sustainability**

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

E. Factors and Processes Affecting Project Performance

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

A. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. *(Project preparation is included in the template for the assessment of Project Design Quality).*

Quality of Project Management and Supervision

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

Stakeholder Participation and Cooperation

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

Responsiveness to Human Rights and Gender Equity

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

Country Ownership and Driven-ness

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

Communication and Public Awareness

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

IX. Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

The Terminal Evaluation will be an **in-depth evaluation** using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultants maintain close communication with the project team and promote information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. The findings of the evaluation will be based on the following:

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

  Interviews (individual or in group) with:
  f. Technical support unit at UNEP and UNDP, and other relevant staff;
  g. Technical Specialists and Technical Support Unit (UNDP and UNEP);

h. Representatives from the Technical Advisory Group and Project Board

i. Fund Management Officers;

j. Project partners, including FAO, WHO, IFAD, GIZ, UNITAR, UNISDR, GWP, UN Habitat, SPREP, GAN, WARN-CC, APAN, REGATTA,

k. Other Relevant resource persons.

Surveys: an end-of-the project survey was completed, and the results were collected and analysed. The evaluation will consider the findings of this survey as secondary data.

Other data collection tools as will be deemed necessary and within available funds

A. Evaluation Deliverables and Review Procedures

The evaluation team will prepare and submit the following deliverables:

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

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

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

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

Review of the draft evaluation report. The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

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

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

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

B. The Evaluation Team

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

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

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

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

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

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

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

Data collection and analysis phase of the evaluation, including:
– conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
– (where appropriate and agreed) conduct an evaluation mission(s) to interview the executing/implementing teams from UNEP and UNDP;
– conduct surveys and interviews (online or by telephone) with various national focal points
– ensure independence of the evaluation and confidentiality of evaluation interviews;

- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Managers informed of the evaluation progress and engage them in discussions on emerging findings throughout the evaluation process.

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

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

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

C. Schedule of the evaluation

Table 5 below presents the tentative schedule for the evaluation.

Table 5. Tentative schedule for the evaluation

Milestone	Tentative schedule*
Kick-off meeting (via Skype)	1 November 2022
Data collection and analysis, desk-based interviews and surveys	November-December 2022
1st Draft report to UNEP and UNDP	15January 2023
Review and feedback to consultants	30 January 2023
2nd Draft Report shared with wider group of stakeholders	28 February 2023
Final Report	30 March 2023

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

D. Contractual Arrangements

The schedule of payment is as follows:

Schedule of Payment for the Team Leader:

Deliverable	Percentage Payment
Draft report	50%
Approved Final Main Evaluation Report	50%

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

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

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

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