Final Evaluation of the Project

Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector

Submitted to: UNDP Bhutan

Submitted by Evaluation Team Members:

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ii. Acknowledgements

The final evaluation of the project “Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector” was facilitated by UNDP, specifically Netra Binod Sharma and Tshering Yangtsho of the Project Management Unit and we wish to thank them for their support. The draft version of the report received valuable input in the form of comments from UNDP. Special appreciation goes to the key stakeholders at both national and local levels, as well as research and CSO partners who shared their valuable time to provide their inputs and perspectives that shaped the evaluation results.

iii. Acronyms and Abbreviations

BCP	Bhutan Climate Platform
CCA	Climate Change Adaptation
CC	Climate Change
CCP	Climate Change Policy
CO	Country Office
COP	Conference of Parties
CPD	Country Programme Document
CSO	Civil Society Organizations
C4	Climate Change Coordination Committee
DAC	Development Assistance Committee
DECC	Department of Environment and Climate Change
DRR	Disaster Risk Reduction
FGD	Focus Group Discussion
GCF	Green Climate Fund
GE	Gender Equality
GLOF	Glacial Lake Outburst Floods
GNHCS	Gross National Happiness Commission Secretariat
KEQ	Key Evaluation Questions
LDC	Least Developed Country
M&E	Monitoring and Evaluation
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NCHM	National Center for Hydrology and Meteorology
NDA	National Designated Authority
NDC	Nationally Determined Contribution
NECS	National Environment Commission Secretariat
NGO	Non-Governmental Organisation
OAI	Office of Audit and Investigations
OECD	Organization for Economic Cooperation and Development
PMU	Project Management Unit
ProDoc	Project Document
PWD	Persons with Disabilities
RGoB	Royal Government of Bhutan
RTA	Regional Technical Advisor
RUB	Royal University Bhutan
SDG	Sustainable Development Goals
SEP	Stakeholder Engagement Plan
ToC	Theory of Change
ToR	Terms of Reference
ToT	Training of Trainers
TRAC	Target for Resources Assignment from the Core
TWG	Technical Working Group
UFE	Utilization-Focussed Evaluation
UNDAP	United Nations Development Assistance Plan
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

1. Executive Summary

Project Information Table

Project Title:	Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector
UNDP ID	PIMS # 6076
Evaluation time frame	Evaluation timeframe – 20 Nov 2023 to 11 Feb 2024
Country and region	Bhutan, South Asia
Executing Agency/ Implementing Partner	UNDP in partnership with the Department of Environment and Climate Change, Ministry of Energy and Natural Resources
Other Partners	Department of Environment and Climate Change, Ministry of Energy and Natural Resources, Department of Water, Ministry of Energy and Natural Resources Department of Macro-fiscal and Development Finance Ministry of Finance, Department of Agriculture, Ministry of Agriculture and Livestock Department of Livestock, Ministry of Agriculture and Livestock Department of Local Governance and Disaster Management, Ministry of Home Affairs National Center for Hydrology and Meteorology Civil Society Organizations Royal University of Bhutan
UNDP SP and CPD Outcome	Contributing to: **Country Programme Outcome #2**: By 2023, Bhutan's vulnerable communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss; and **UNDP Strategic Plan output #2.3.1**: Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis
Project Period	Start date: 14 January 2019: End date: 11 May 2024
Project Cost	USD **2,764,847.26**

Project Description

Climate change impacts are occurring globally and at an increasing rate. Adapting to climate change should now be a routine and necessary component of planning at all levels, from the national level to the local level. The United Nations Framework Convention on Climate Change (UNFCCC) established the National Adaptation Plan (NAP) process to facilitate adaptation planning in least developed countries (LDCs) and other developing countries.

The objectives and guiding principles for National Adaptation Plans for Least Developed Countries were developed during the 17th Conference of Parties (COP 17, 2011), where it was agreed that enhanced action on climate change adaptation should:

- Be undertaken in accordance with the Convention (UNFCCC).
- Follow a country-driven, gender-sensitive, participatory, and fully transparent approach, taking into consideration vulnerable groups, communities, and ecosystems.
- Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and use gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate; and
- Not be prescriptive, nor result in the duplication of efforts undertaken in-country, but facilitate country-owned, country-driven action.

The Royal Government of Bhutan (RGoB) initiated the NAP process in 2015 with a NAP road map for the country and an update of the 2012 National Adaptation Programme of Action (NAPA). Bhutan's NAP project, supported financially by the Green Climate Fund (GCF) and implemented by UNDP, built on the Nationally Determined Contributions (NDC) and National Adaptation Programme of Actions (NAPAs), scaled up adaptation in the medium-to-long-term and by focusing on priority sectors identified the NDC, such as water resources.

The Outcomes (expected results) of the NAP Project are:
Outcome 1: Enhanced Coordination, Learning and Knowledge Management for an Iterative NAP Process
Outcome 2: Technical Capacity Enhanced for the Generation of Climate Scenarios and Impact Assessment
Outcome 3: Vulnerability Assessments Undertaken and Adaptation Options Prioritized
Outcome 4: NAP formulated and Capacity for Implementation and Monitoring Established

The independent final evaluation of the NAP readiness project (2019-2024) was commissioned by UNDP Bhutan. The purpose of the final evaluation, as specified in the Terms of Reference (ToR), was to document evidence of the Project's contributions to development results at the country level as articulated in UNDP's Country Programme Document (CPD). The evaluation aimed to determine what could improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. Additionally, the evaluation aimed to assist in enhancing subsequent iterations of the NAPs. Evaluations serve to provide accountability and provide national stakeholders and partners in Bhutan with an impartial assessment of the results of NAP's intervention. The intended users of the evaluation are the government departments, partners, project technical working group and project board and UNDP, all of whom were involved in the NAP process and who may be involved in and impacted by future NAP iterations.

The evaluation gathered evaluative evidence of the project's Relevance, Effectiveness, Efficiency, Impact and Sustainability, and Cross cutting issues of gender and human rights (social inclusion) to assess the achievement of project results against what was expected. The evaluation methodology included a comprehensive desk review of project documents, as well as semi structured interviews with project stakeholders, which were conducted in person and remotely by two evaluation consultants contracted by UNDP to conduct the evaluation. This report provides the results of the final evaluation and has been reviewed by UNDP.

Evaluation Ratings Table [1]

Evaluation Ratings:			
1. Monitoring and Evaluation	***rating***	**2. IA& EA Execution**	***rating***
M&E design at entry	S	Quality of UNDP Implementation	S
M&E Plan Implementation	S	Quality of Execution - Executing Agency	S
Overall quality of M&E	S	Overall quality of Implementation / Execution	S
3. Assessment of Outcomes	**rating**	**4. Sustainability**	**rating**
Relevance	6	Financial resources:	ML
Effectiveness	5		
		Socio-political:	L
Efficiency	4	Institutional framework and governance:	L
Overall Project Outcome Rating	5	Environmental:	L
		Overall likelihood of sustainability:	L

Summary of findings, conclusions and lessons learned

1. The NAP Readiness Project has been impactful in its aim of supporting Bhutan to identify and develop medium to long term climate adaptation priorities, which are documented in the NAP. The NAP document is expected to catalyse resource mobilization and collective action. The longer-term impact of the Project on Bhutan's communities and its economy will become apparent as the NAP is implemented and monitored for effectiveness.
2. The four outcomes have been achieved: raising awareness, building technical capacities and enhancing coordination, networking and knowledge management have all occurred to some extent, with the need to expand and increase trainings and the need to ensure there is a mechanism for maintaining inter-sectoral communication and coordination. Vulnerability assessments in four key sectors have been undertaken and adaptation options prioritized. The ultimate goal of a NAP formulated and submitted to the UNFCC was achieved as well as the capacity for implementation and monitoring of adaptation priorities.
3. The importance of including local government and local community members, including vulnerable groups cannot be over-emphasized. The local level is where climate change impacts are felt most severely and those impacted can contribute to knowledge of vulnerability and risk.
4. Partnerships were important to the NAP, as shown by the effectiveness of the multi-stakeholder TWG and Project Board. Such partnerships need to be strengthened and broadened to include additional departments, the private sector including the technology sector and civil society organisations.

Conclusions: Considering the spectrum of engagement of stakeholders, the comprehensiveness of the NAP project outcomes including coordination, capacity building, vulnerability assessments leading to the development of NAP and the generally positive feedback from respondents during the evaluation, it is reasonable to conclude that in achieving the goal of Bhutan's first National Adaptation Plan, the project has the potential to contribute directly towards increasing resilience to climate change. Going forward, the NAP will provide the roadmap for Bhutan's economy and communities including those most vulnerable, to increase adaptive capacity and become more resilient to climate-change impacts and other disasters. While the NAP

[1] Annex 6.8 contains the ratings scales but for ease of use, the ratings are: Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (UL)

project had some shortcomings and challenges, such as COVID-related restrictions which affected training outcomes, finances and the workplan, the four outcomes were achieved and the first NAP for Bhutan was produced.

Lessons Learned: There were several important lessons learned. One is the power of adaptive management for positive outcomes. The project was responsive to feedback and able to make the necessary changes to the budget and to the work plan when confronted with challenges such as travel restrictions due to COVID 19. This enabled the project to achieve its ultimate goal of producing Bhutan's First National Adaptation Plan. It was also discovered that the use of national experts was as effective as international experts. Originally, more international experts were included in the project design, however, due to COVID-related travel restrictions, the search for qualified national experts resulted in a strong network of local experts who now have the expertise and knowledge to assist with future NAP iterations, at significantly lower cost. Another lesson learned was the importance of the extensive engagement and highly inclusive participatory approach for NAP formulation, ensuring the ownership and adoption by the government. In addition, UNDP proactively supported NAP implementation through resource mobilization in the areas of water, agricultural systems, and urban resilience.

Recommendations summary table

Rec #	Evaluation Recommendation
Category: Relevance	
1	**The relevance of the Project for target communities and vulnerable groups** (e.g. women, minorities, elderly, PWD, youth) **could be strengthened** by increasing the involvement of local government representatives, who are able to influence and mobilize local communities
Category: Effectiveness	
2	**Sectors should integrate CCA by using the NAP to define their programmes**. The draft planning guidelines for the 13th FYP that have been circulated to agencies to develop their national programmes do not mention the integration of climate change and the NAP could provide the guidance needed.
3	**Increased Capacity Building for understanding vulnerabilities to climate change and for implementing climate change adaptation is needed.** Capacity gaps emerged as a priority in the evaluation. To increase the effectiveness of capacity building: i. Differentiated training programs should be in place to cater for different levels of experience in climate change ii. Training effectiveness is increased by in person training methods, especially at the local government and community levels iii. A cascade model of training is effective, leveraging the expertise of CSOs with experience in working with local communities and with local government. iv. Additional or refresher trainings are needed, considering the unfamiliarity of the topic in certain cases, new and emerging CCA topics, staff attrition in partner organizations including in the TWG, and the limited technical expertise available in the country, especially at local levels. v. The reach of training to communities at the Gewog and Throm level in various sectors needs to be considered. vi. Peer learning among communities and local government based on existing examples could be an additional approach to capacity building and enhancing mainstreaming.
4	**More consultations and engagement of field-based practitioners and experts would draw upon their role in integrating climate resilience initiatives at the community and local government level.** This could be done with the overall guidance of thematic experts in central agencies and within the framework of NAP.
5	**Greater Participation by LG and Private Sector is needed** to enhance overall effectiveness. A format where LGs are introduced to climate change in an institutionalized setting may increase the likelihood of mainstreaming CCA in LG plans and priorities. Exploring the inclusion of agencies such as the BCCI is also recommended.
6	**Partnerships should be expanded:** i) The Department of Tourism should be involved in the next NAP, due to its importance to the national economy and the level it is impacted by climate change ii) The next NAP Project Board needs to include the technology sector to foster innovation and research in science and technology for CCA activities. Agencies such as DHI Inno Tech could be considered.

	iii) The private sector can enhance aspects of CCA through developing clean infrastructure, reducing energy and water use, improving the climate resilience of cities and communities, and supporting natural capital and ecosystems
Category: Efficiency	
7	**More resources should be allocated for community consultations** and their contributions to CRA and CVA.
8	**Financial resources for mainstreaming and implementation of climate change adaptation is a crucial next step for NAP.** Resource mobilization by individual participating agencies for their respective activities is essential. Investing in financial preparedness should be considered for future readiness or updates to the NAP. Financial mechanisms to encourage participation by entrepreneurs, community members and the private sector in general is important. Links to innovative national mechanisms is pertinent, such as to the Bhutan Climate Fund (BCF).
Category: Sustainability	
9	**Integrating adaptation into new and existing national and sectoral policies and programmes is key to sustainability**. Entry points at the national level are existing policies and the upcoming 13th FYP while entry points at the local level are community-based groups (e.g. Community Forest Management Groups). An important entry point at the dzongkhag and gewog level is the Grant Guidelines[2] developed by the MoF.
Category: Impact	
10	Those working on the next NAP should be aware of the necessity to take a "systems" approach – which means that the sectors should work together and integrate sector-specific climate change vulnerabilities and adaptation priorities.
Category 6: Gender Equality	
11	**All CC projects that arise from the NAP should have a gender assessment** conducted with a requirement for gender specific indicators, a budget and a monitoring plan that includes the collection of gender-disaggregated data.
Category 7: Human Rights and Social Inclusion	
12	**More consultation with vulnerable groups** such as PWDs, minorities, elders, women and youth is needed to ensure they have input into CCA decisions. Consultation will assist in bridging the gap of very limited data on the specific needs of vulnerable groups related to climate change impacts and adaptation responses.

[2] Annual Grant Guidelines, 2022, Ministry of Finance, Royal Government of Bhutan

2. Introduction

The Kingdom of Bhutan is a small, land-locked, country situated in the Himalayas, with a population of under 800,000 people spread over 38,394 square kilometers. The country is made up of mountain eco-systems with forests covering an estimated 71 percent of the land cover. Cultivated agricultural land takes up 2.93%[3] ,. The projected and current climate change hazards in Bhutan are an increase in average temperature; a decrease in precipitation during the dry season, with an increase during the wet season; increased rainfall intensity with more erratic and unpredictable rainfall patterns and a shift in the timing of the monsoon season; and increased risk of glacial lake outburst floods (GLOFs). These hazards lead to an increase in the incidence of landsides, river erosion, flash floods, windstorms, and forest fires.

The hydropower, agriculture, and tourism sectors, which together account for almost one third of Bhutan's GDP, are all highly impacted by climate change, as are other important sectors such as health, forestry and biodiversity, which are all dependent on, and affected by, climate variability and natural hazards.

Adapting to climate change should now be considered a routine and necessary component of planning at all levels, from the national level to the local level. The United Nations Framework Convention on Climate Change (UNFCCC) established the National Adaptation Plan (NAP) process as a way to facilitate adaptation planning in least developed countries (LDCs) and other developing countries[4].

2.1 Purpose and scope of the Final Evaluation

The aim of the evaluation of the project *Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector* is multifold. Broadly, the objective of the evaluation is to provide an independent and in-depth review of the project outcome, outputs, and overall impact. Generally, evaluations are intended to identify unforeseen project design problems and implementation challenges, assess progress towards the achievement of objectives, identify and document lessons learned (including lessons that might improve design and implementation of other similar projects), and to make recommendations for future projects. As specified in the Terms of Reference (ToR), the purpose of the final evaluation, is to document evidence of the Project's contributions to development results at the country level as articulated in UNDP's Country Programme Document (CPD).

The final evaluation on the NAP Readiness Project (2019-2024), is the period of time from project inception in 2019 to close to project end, January 2024. The aim is to assess the project's relevance, effectiveness, efficiency, sustainability, as well as incorporation of gender inclusivity, human rights, and other and cross-cutting dimensions. The evaluation aimed to determine how Bhutan has benefited from the NAP project interventions and what lessons could be learned that can both improve the sustainability of benefits from NAP Process as well as future iterations of NAPs in Bhutan.

2.2 Methodology

Overview of evaluation approach

The terminal evaluation of the NAP project was both summative and formative with lessons learned and recommendations to be applied to future work of UNDP and future iterations of NAPs. The evaluation was also participatory in order to encourage and support reflection and learning among the primary stakeholders as they provide information on the project. The evaluation was collaborative, working closely with the UNDP, the project management unit (PMU) and soliciting comments and feedback on the inception report and the final report from key UNDP stakeholders. The evaluation was ultimately designed to be useful to its intended users to enhance the utilization of the findings to inform future decisions and improve performance of the overall NAP Process.

The evaluation relied on the UNDP-GEF evaluation guidelines to assess several aspects of the NAP project:

- project design including the results framework, risk log, M&E, quality assurance.

[3] https://www.rspnbhutan.org/bhutans-land-cover-maps-updated/
[4] unfccc.int

- project implementation.
- stakeholders and partnerships.
- theory of change.
- project results in terms of activities conducted and outcomes achieved focused towards advancing medium to long term planning in climate sensitive sectors in relations to Country Programme Outcome #2: *By 2023, Bhutan's vulnerable communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss* and UNDP Strategic Plan output #2.3.1 *Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis*.
- achievements towards the four outcomes and outputs of the project.
- the participation of Bhutan in COP 28 in UAE (Nov 30-Dec 12) for activities related to the NAP.
- While water was one of the climate sensitive sectors identified, the evaluation includes all seven sectors as identified in the NAP document. The seven sectors are: water, agriculture and livestock, forest and biodiversity, human settlement and climate-smart cities, health, energy, climate service and disaster risk reduction.

2.3 Evaluation Methods: Data Collection and Analysis

The evaluation involved a comprehensive desk review of project documents, interviews with key stakeholders, data analysis, presentation and report writing. The two-member evaluation team were responsible for setting up the interviews and Focus Group Discussions (FGDs) that were conducted both in-person and virtually. The schedule and list of people interviewed are shown in Annex 4.

The evaluation relied on the following methods, which allowed for data triangulation:

ii. **Inception**: On November 23, 2023, an inception meeting was held for the purposes of introductions and an overview of the approach and methods to be used in the evaluation. On November 28, the Inception Report was submitted to the Project Team.

iii. **Desk review** of a comprehensive list of project documents provided by the PMU (refer to Annex 5 for the list of documents reviewed)

iv. **Semi-structured interviews** were conducted in the time period Dec 6th- Jan 3rd with 39 stakeholders interviewed both in-person and virtually. Where interviews were not possible, questions were sent by email.

v. **Focus Group Discussions (FGD)** were held when there were two or more people participating. The questions were the same as the one-on-one interviews.

Key Evaluation Questions (KEQ): The questions for the interviews and FGDs were structured based on the criteria of relevance, effectiveness, efficiency, sustainability, impact, and cross cutting (gender and inclusiveness) and are shown in the Evaluation Matrix in Annex 6.

Data analysis was conducted for both the quantitative primary data from the interviews and from secondary sources from the documents reviewed. All perspectives and opinions from the stakeholders interviewed were documented and honoured. Like responses were grouped together to provide evidence for the findings and data were triangulated by using the primary and secondary data sources. Whenever there was anecdotal evidence (one response) then that is flagged in the analysis as being so.

2.4 Ethics

The Ethical Code of Conduct for UN evaluations was followed for this evaluation, as the principles outlined in UNEG. All interviews were conducted in complete confidentiality.

2.5 Limitations to the evaluation

The evaluation was conducted in a participatory, consultative and transparent manner with all findings substantiated with evidence from the data collection. A possible limitation is that several interviews were conducted virtually. Virtual interviews are efficient from a time and financial standpoint. However, they can miss some information from body language of the interviewee and the more personal atmosphere created during face-to-face discussions. This possible limitation was mitigated by using the camera for the meetings when possible.

2.6 Structure of the Final Evaluation report

The evaluation report is structured according to the set Table of Contents outlined in the ToR, beginning with the executive summary, introduction and project description. The findings section is in three parts: project design, project implementation and project results (which track the DAC criteria). The report ends with a summary of the main findings, conclusions, recommendations and lessons learned. Several annexes are also included (the ToR, consultation itinerary, stakeholders interviewed, documents reviewed and the evaluation matrix as well as the required evaluation rating matrices.)

3. Project Description: Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector

3.1 Project start and duration

The NAP project, funded by GCF, started in June 2019 and will finish in May 2024[5]. The evaluation covers the period from inception in June 2019 until January 2024. The evaluation was conducted by two independent evaluators, one national and one international starting 20 November and was finalized by 11th February 2024.

A table outlining the key milestones of the project is shown below.

Table 1. Key Milestones of the NAP Project

Milestone	Date
Start date	14 January 2019
Grant signing date	20 June 2019
Agreement signing	20 June 2019
Inception workshop	27 June 2019
Terminal evaluation	20 Nov 2023 to 11 Feb 2024
Closing date	May 2024

3.2 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

Bhutan is a small, mountainous landlocked nation situated on the southern slope of the Eastern Himalayas, highly vulnerable to climate change impacts and extreme weather events, with an economy largely reliant on agriculture (supporting over 60% of the rural population) and hydropower. Bhutan faces various hazards, including hailstorms, windstorms, cyclones, droughts, floods, and landslides. The increased melting of snow and glaciers in the northern regions poses the risk of glacial lake outburst floods (GLOF), disrupting the water supply to downstream communities. Bhutan's vulnerability is exacerbated by the country's limited adaptive capacity, constrained economic status marked by insufficient financial, technical, and human resources.

Environmental: Water is a crucial resource for Bhutan, vital for hydropower and agriculture. The changing climate is characterized by wetter summer months, drier winter months, and accelerated glacier melting, with overall water scarcity as a significant impact. The greatest impacts are felt in sectors reliant on water, including drinking and sanitation, agriculture, hydropower (NEC, 2020). Water is both a cross-cutting and climate-sensitive sector, and these impacts pose multifaceted challenges across various industries in Bhutan.

Bhutan's forests are characterized by high biodiversity. Due to climate change, these forests now face various threats, including new pests and diseases, fires, diebacks, and stress related to elevated temperatures (NEC,

[5] This time period includes the 10 month no cost extension which was granted due to COVID related delays.

2020). The loss of forests reduces Bhutan's capacity to act as a carbon sink and jeopardizes its commitment to maintain 60% forest cover, as mandated by the constitution. This trend is concerning not only for Bhutan but globally, as fires and other impacts are increasing, posing risks to lives, ecosystems, and economic well-being.

Socio-economic: Bhutan's economy primarily revolves around three key sectors: hydropower, tourism, and agriculture. The economic development strategy in Bhutan is rooted in the overarching philosophy of Gross National Happiness (GNH), which centers on four pillars: i) sustainable socio-economic development, ii) preservation and promotion of culture and tradition, iii) conservation of the environment, and iv) good governance. For an extended period, economic growth has predominantly been in the public sector; however, the government acknowledges the importance of fostering growth in the private sector. There is now an increased emphasis on economic diversification, and Bhutan has advanced in the modernization of its economic framework, resulting in sustained poverty reduction. However, the post-COVID period has been constrained by a slow economy recovery.

In the last few decades, Bhutan has made significant socio-economic advancements, culminating in its transition from being classified as a least developed country (LDC) to joining the lower-middle-income country group on December 13th, 2023. The economy of Bhutan was severely affected by the COVID-19 pandemic, affecting economic stability needed for the smooth transition from least developed country status.

A study of Gender and Climate Change in Bhutan (2020), specifically concentrating on the Agriculture, Energy, and Waste sectors within the Nationally Determined Contributions (NDC) explored the intersection of gender and climate, as well as the differentiated impacts of climate change. The study played a crucial role in identifying opportunities for gender mainstreaming in developing the Low Emission Development Strategy (LEDS) and the second Nationally Determined Contribution (NDC). In Bhutan, women's equal rights are enshrined in the country's Constitution, but gender equality still presents a mixed picture (NCWC, 2021). Progress has been made in education, maternal mortality reduction, and increased women's participation in society and work. However, persistent gender inequalities include unequal land ownership, low representation in public and political institutions, and limited participation in education beyond the secondary level (NCWC, 2021). Challenges include a higher unemployment rate for women, gender payment gaps in the informal sector, gender-based violence, and male dominance in household decision-making. A comprehensive institutional structure exists that includes the National Commission for Women and Children, Gender Focal Points, and a Gender Expert Group, however, there is still limited human capacity and resources (NCWC 2021). Climate change issues have recently been integrated into the National Gender Equality Policy 2020 and the National Plan of Action for Gender Equality (2019-2023).

Policy: In January 2020, the Bhutanese government embraced a comprehensive and cross-sectoral strategy, the Climate Change Policy of the Kingdom of Bhutan 2020 (CCP), as a national initiative in response to the challenges and opportunities arising from recent changes in the global and domestic context of climate change. The CCP envisions a prosperous, resilient and carbon-neutral Bhutan where the pursuit of gross national happiness for the present and future generations is secure under a changing climate. The policy adheres to all applicable national laws and international legal instruments in force in the Kingdom of Bhutan. The formulation of the climate change policy is designed to address specific provisions outlined in the following legal instruments: the Constitution of the Kingdom of Bhutan 2008, the National Environment Protection Act 2007, the Public Finance Act 2007, the United Nations Framework Convention on Climate Change, the Paris Agreement, Kyoto Protocol, Montreal Protocol on Substances that Deplete the Ozone Layer, Carbon Neutral Declaration, and the Convention on the Elimination of all Forms of Discrimination Against Women.

Bhutan actively participates in regional networks and collaborations related to environment and climate change governance. It is a member of the South Asian Association for Regional Cooperation (SAARC) and is engaged in landmark agreements such as the Male Declaration established under the South Asian Cooperative Environment Program (SACEP). Bhutan also participates in the Asia Pacific Adaptation Network (APAN) and contributes to initiatives within the regional information network facilitated by the International Center for Integrated Mountain Development (ICIMOD). Furthermore, the leaders of the Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation (BIMSTEC) acknowledge the negative effects of climate change

in the region and have agreed to strengthen cooperation on initiatives related to environmental protection and sustainable development. During the fifth BIMSTEC Summit in Colombo, Sri Lanka, on March 2022, leaders endorsed the inclusion of Environment and Climate Change as one of the seven prioritized sectors in BIMSTEC cooperation.

The inauguration of the first-ever Country Pavilion for Bhutan at the United Nations Framework Convention for Climate Change (UNFCCC) for COP 28 in Dubai focused on "Sustaining Carbon Neutrality". The Pavilion underscored Bhutan's commitment to environmental conservation and sustainable development, highlighting the nation's dedication to global collaboration in addressing environmental challenges.

Institutional: The institutional structure for coordinating climate change efforts in Bhutan is with the National Environment Commission (NEC) and the country's endorsement of the Rio Conventions in 1992. Bhutan officially ratified the United Nations Framework Convention on Climate Change (UNFCCC) on August 15, 1995. According to Bhutan's Climate Change Policy, the prevailing institutional framework for addressing climate change will persist and undergo further enhancements. The NEC is the high-level governing body known as the National Climate Change Committee (NCCC), chaired by the Secretary of MoENR. The NCCC and the NEC examine all policy and regulatory issues related to climate change. The Department of Environment & Climate Change (DECC) under the Ministry of Energy and Natural Resources (MoENR) functions as the Secretariat for the NEC. The Climate Change Coordination Committee (C4) comprises top-level executive representation from stakeholder agencies and organizations, with the Director General of DECC as the chair. The Climate Change Division of DECC supports the fulfillment of C4's mandates and functions.

The Ministry of Finance (MoF) is responsible for formulating and executing fiscal policies and ensuring sound financial management. The Ministry of Finance's key objectives include maximizing resource generation, ensuring efficient allocation, practicing prudent expenditure and debt management, and upholding proper accountability for public resources within the framework of several laws, such as the Public Finance Act 2007, Public Debt Management Policy 2023, Income Tax Act 2001, Revised Taxes and Levies Act 2016, Fiscal Incentives Act 2021, and Public Private Partnership Policy 2016. In line with these regulations, the MoF is empowered to mobilize resources, allocate budgets, offer fiscal incentives, and utilize various tools to support private-sector lending, thus facilitating the implementation of the Climate Change Policy (CCP). As per the CCP, the erstwhile Gross National Happiness Commission, now under MoF and the Cabinet Secretariat, is mandated to facilitate the mobilization of external grants, ensuring their allocation to agencies and Local Governments is aligned with government priorities and guidelines. Furthermore, the MoF where possible will assist in integrating climate change into policies, programs, and plans, and work towards mobilizing external resources for implementing climate change programs and projects. The National Center for Hydrology and Meteorology (NCHM) is responsible for delivery of a national repository of hydro-meteorological data, services, and guidance to address the requirements of the public, emergency services, and other specialized users. The Royal University of Bhutan (RUB) and other research institutions carry out research based on identified needs to aid informed decision-making and support the planning and execution of actions addressing climate change. All other sectoral agencies and organizations, involve incorporating climate change initiatives into their specific mandates, policies, and programs.

Effective institutional arrangements are critical for adaptation planning and implementation and for sustainable resilience building. Existing institutional arrangements as described above are adequate in terms of the governance structure, policies in place, and the roles assumed by the various organizations. To strengthen mainstreaming and implementation, however, more needs to be done and the NAP provides a promising platform to go beyond developing and setting up institutional arrangements to strengthening mainstreaming and implementing actions utilizing these arrangements. Continued strengthening of existing limited expertise, rolling out fit-for-purpose adaptation tools and approaches for different stakeholder groups, greater focus on mainstreaming in the country's long-term plans and into local plans can leverage on the existing institutional arrangements.

3.3. Problems the project sought to address

The objectives and guiding principles for National Adaptation Plans (NAPs) for Least Developed Countries (LDC) were developed during the 17th Conference of Parties (COP 17, 2011). Adaptation planning is also part of (Article 7) of the Paris Agreement, and is included in the recent decision from CoP 28 on the Global Goal on Adaptation. It was agreed that enhanced action on climate change adaptation should:

- Be undertaken in accordance with the Convention (UNFCCC);
- Follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems;
- Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate; and
- Not be prescriptive, nor result in the duplication of efforts undertaken in-country, but facilitate country-owned, country-driven action.

There was a recognized need for more capacity, financial resources to increase Bhutan's commitment to climate change adaptation. While Bhutan has budgeted for adaptation through its Five-Year Plans (FYP), climate change spending still forms only two-three percent[6] of the national budget (NAP project Inception Report).

The Royal Government of Bhutan (RGoB) aimed to advance its NAP process by building on existing capacities and enhancing institutions already in place for adaptation planning through the following outcomes:

Outcomes (expected results) of the Project:

Outcome 1: Enhanced Coordination, Learning and Knowledge Management for an Iterative NAP Process
Outcome 2: Technical Capacity Enhanced for the Generation of Climate Scenarios and Impact Assessment
Outcome 3: Vulnerability Assessments Undertaken and Adaptation Options Prioritized
Outcome 4: NAP formulated and Capacity for Implementation and Monitoring Established

The preparation and implementation of Bhutan's NAP is led by the Department of Environment and Climate Change (DECC) (formerly the National Environment Commission Secretariat (NECS)[7], together with the following partners:

- Department of Environment and Climate Change, Ministry of Energy and Natural Resources
- Department of Water, Ministry of Energy and Natural Resources
- Department of Macro-fiscal and Development Finance
- Ministry of Finance
- Department of Agriculture, Ministry of Agriculture and Livestock
- Department of Livestock, Ministry of Agriculture and Livestock
- Department of Local Governance and Disaster Management, Ministry of Home Affairs
- National Center for Hydrology and Meteorology
- Civil Society Organizations
- Royal University of Bhutan

The main stakeholders and their involvement in the NAP readiness project are diverse and represent national and local government representatives, academic institutions, CSOs, and the private sector. The full list of stakeholders is in Annex 3.

3.4 Theory of Change

A Theory of Change (ToC) represents the rationale and assumptions of a project approach and strategy. The NAP Theory of Change, as presented in the NAP ProDoc (page 12) uses a diagram to outline the overall goal statement, the four outcomes, the 12 sub-outcomes (also called outputs) and the barriers to achieving the stated outcomes.

[6] file:///C:/Users/woodl/Documents/UNDP%20Bhutan/Documents%20for%20Review/PEER-Final-For-Web.pdf
[7] The primary government agency mandated to oversee all issues related to water and environment in Bhutan is the National Environment Commission Secretariat (NEC).

The ToC identifies barriers to the achievement of outcomes as:

i. Coordination among government departments
ii. The absence of sector-specific information on adaptation
iii. Learning and awareness
iv. Technical capacity for climate information
v. Systematic identification and appraisal of adaptation options
vi. No comprehensive M&E framework to track all CCA projects in country.

The NAP outcomes are a direct response to the identified barriers. The activities the project designed and implemented directly contribute to the outcomes. The first two barriers (lack of government coordination and lack of sectoral information on adaptation) were addressed by setting knowledge management systems and protocols in place, and developing a stakeholder engagement plan, which outlines roles and responsibilities on for adaptation planning (Activities in outputs 1.1 and 1.3). The third barrier (lack of learning and awareness) was addressed by learning exchange programmes, trainings of civil servants, and peer-to-peer knowledge exchange opportunities (Activities in output 1.2). The fourth barrier (lack of technical capacity) was addressed by activities in Outcome 2 & 3, such as building capacity for sector-specific studies, and other studies which enables more informed decision making. The fifth barrier (lack of systematic appraisal of adaptation options) was addressed by the activities in Outcome 3, where a systematic identification and appraisal of adaptation options was conducted. The sixth barrier (lack of a comprehensive M&E framework), was addressed by the activities in Outcome 4, which was the actual preparation of the NAP, with a section on M&E. A more in-depth analysis of the ToC is in the next section 4.1.

4. Findings

A requirement of GCF evaluations is to provide overall evaluation ratings of M&E, Project execution, Outcomes and Sustainability. These are presented in Table 2 below. Annex 6.8 contains an explanation of the ratings which is also provided as a footnote[8].

Table 2. Overall Evaluation Ratings

Evaluation Ratings:			
1. Monitoring and Evaluation	***rating***	**2. IA& EA Execution**	***rating***
M&E design at entry	S	Quality of UNDP Implementation	S
M&E Plan Implementation	S	Quality of Execution - Executing Agency	S
Overall quality of M&E	S	Overall quality of Implementation / Execution	S
3. Assessment of Outcomes	**rating**	**4. Sustainability**	**rating**
Relevance	5	Financial resources:	ML
Effectiveness	5		
		Socio-political:	L
Efficiency	4	Institutional framework and governance:	L
Overall Project Outcome Rating	5	Environmental:	L
		Overall likelihood of sustainability:	L

[8] Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (UL)

4.1 Project Design/Formulation

4.1.1 Analysis of Results Framework: project logic and strategy, indicators

Finding 1. The NAP was a country driven process. NAPs were agreed by member states during CoP 16&17 (Cancun/Durban), and reiterated in various other places, including the Paris agreements. LDCs and non-LDCs are required to submit their NAPs to the UNFCCC. The development of the NAP was an outcome of climate change policy in Bhutan, such as the Climate Change Policy, the NAPA, the NDC and several adaptation initiatives. The NAP also depended on multi-stakeholder perspectives within government, both national and local, academia, the NGO/CSO community and the private sector who comprised the Technical Working Group (TWG) that guided the process. The NAP project initially aimed to include international experts in climate change adaptation, but due to changes imposed by COVID restrictions, they used in-house expertise which was more than sufficient to meet the needs of the NAP readiness project.

4.1.2 Analysis of the Theory of Change: outcomes in relation to the identified barriers and the activities designed to achieve the outcomes

Finding 2. The project's four outcomes were relatively clearly stated and clarified further by the sub-outcomes (also referred to as outputs). All activities for each sub-outcome clearly contribute to the achievement of the outcomes.

Finding 3. The Theory of Change was clearly defined with well stated outcomes and barriers, however, the goal statement could be better stated to reflect the outcomes. The NAP readiness project's Theory of Change, as presented in the NAP ProDoc, outlines the problem statement and barriers (or existing challenges) to the goal, along with the sub-outcomes, outcomes and ultimate impact of the project (Goal). The intended long-term results of the project are stated as the Outcomes. The goal (impact) is stated as the development of the NAP itself. However, the evaluation suggests that the Theory of Change could more clearly state the goal and impact of the NAP process as "stronger integrated systems for planning, budgeting and monitoring as well as identification of programmes to reduce vulnerability to climate change and sustained livelihood improvement of the poor and vulnerable." (As stated in the Project DOA initiation Plan).

Finding 4. All sub-outcomes are systematically linked to the outcomes and to the overall project goal. The barriers to Outcome 1 are identified in the ToC as i) a lack of coordination among institutions and ii) a lack of sector specific information on adaptation. Both the sub-outcomes and the outcome appear to be optimal end results to overcome the stated barriers. The activities for Outcome 1, to develop guidelines and a protocol to facilitate process for planners; to develop a stakeholder engagement plan for the NAP process; to prepare a capacity and skills assessment of institutions; and to develop a strategy to address, strengthen and implement the capacity and skills of institutions for generating relevant information for the NAP process are considered suitable activity drivers for the eventual achievement of this outcome.

The NAP formulation protocol developed in 2020 is intended to provide guidance on adaptation needs for planning and development processes at the national government level as well as communities, the private sector, local municipalities, local government, non-governmental organizations, state owned enterprises, media, and other relevant stakeholders. The NAP stakeholder engagement plan (2020) involved holding meetings, surveys, and interviews with identified groups of people from relevant ministries and departments at different levels to provide opportunities for them to contribute their concerns and opinions on environmental knowledge needs, policy and practice-relevant topics, and prioritized questions for the NAP review protocol.

The NAP skills assessment document was to gain an understanding of the gaps in existing climate change training initiatives and programmes, of which it outlined several gaps in capacity among the range of stakeholders. The skills assessment concluded that the skill sets within the central government were either somewhat adequate or were in the process of being developed while local government and private sector knowledge on climate change adaptation were found less than adequate. A strategy was developed to address

and strengthen the capacity and skills of institutions, which contributed strongly to the achievement of Outcome 1.

The activities undertaken to support sub-outcome 1.3, (knowledge management systems) included the development of a protocol for the management of data and information for CCA; establish an adaptation platform for Information and knowledge management; support access to climate change information for sectors and stakeholders in partnerships with other institutions; and dialogue with institutions working on localising SDGs to ensure that climate change risks for relevant SDGs goals and targets are included in the NAP. At the time of the evaluation, the protocol for knowledge management and an adaptation platform were completed. All activities were suitable to support the sub-outcome 1.3.

The SDG Structured Dialogue Report serves to harmonize the commitment to the Paris Agreement (the NAP) with the 2030 UN Sustainable Development Agenda (the SDGs) so that government institutions understand and work with the points of intersection between the climate and development agendas.

Finding 5. The use of the term "impact assessment" in Outcome 2 is imprecise based on the technical definition of impact assessment (IA)[9]. The wording of Outcome 2 "*Technical capacity enhanced for the generation of climate scenarios and impact assessment*" needs a slight re-wording. The aim of the outcome is for increased capacity to conduct climate vulnerability and climate risk assessments. As it is currently stated, there is an incorrect suggestion that impact assessments are conducted not a climate risk and vulnerability assessment (CRVA). An impact assessment (IA) is a structured process for considering the implications, for people and their environment, of proposed actions[10] which is different than a CRVA. Therefore, it is suggested that the Outcome 2 wording is changed from "impact assessment" to "adaptation options". The sub-outcomes contribute well to Outcome 2. However as stated, the second sub-outcome could be more specific to state exactly what technical capacity is enhanced.

The barriers to Outcome 2 are identified in the ToC as i) lack of institutional coordination and the lack of learning and awareness among government agencies on how climate change adaption issues are cut across most development interventions and ii) that CCA needs to be integrated across sectors. The two sub-outcomes and outcome 2 are well aligned to overcome these identified barriers.

The activities to drive the achievement for Outcome 2 are summarized as: a stocktaking of existing information and data gaps on climate change; compile climate scenarios and projections for Bhutan and its twenty Dzongkhags; socio-economic scenarios that include macroeconomic modelling; conduct climate risk and impact assessment of key sectors at national level; develop partnerships with international, national and sub-national training institutions, research institutes and universities for peer to peer learning and knowledge sharing; design and implement a training programme in partnership with international and regional scientific institutions to enhance the capacity of national scientific and technical communities; and develop a strategy and roadmap for climate research. The evaluation finds that all of these activities are clearly aligned and designed to drive the achievement of Outcome 2.

Finding 6. Outcome 3 is clearly stated, and that the three sub-outcomes contribute clearly to the overall Outcome 3. The barriers to Outcome 3 are identified as i) the lack of learning and awareness among government agencies on how climate change adaption issues are cut across most development interventions and that CCA needs to be integrated across sectors; ii) limited production of technical climate change-related information produced at Bhutan's research institutions and universities and limited sharing of this information with policy makers; iii) limited identification and appraisal of adaptation options required for investment planning; and iv) no comprehensive M&E framework to track CCA projects in order to track progress on CC resilience in Bhutan.

Finding 7. The three sub-outcomes in Outcome 3 go only part way to overcome the barriers. They do not clearly address the need for better integration of research and policy (barrier ii). It is suggested that this barrier

[9] www.iaia.org/
[10] https://www.iaia.org/wiki-details.php?ID=4

could be addressed through outcome 1, and the ToC should link this barrier to Outcome 1 as well as Outcome 3.

The activities implemented to drive the achievement for Outcome 3 are summarized as: conducting and training on vulnerability assessments for key sectors; national impact assessment of climate change on water resources including urban water sources; the identification of adaptation options in the water sector and water dependent sectors; preparation of project ideas based on prioritised adaptation options; development of and training on screening guidelines for climate change adaptation for planners and budget staff; the development of an adaptation costing framework; and the development of a mechanism for synergizing approaches for adaptation planning across different cross cutting issues and thematic areas. All of the completed activities contributed directly to outcome 3. It is noted that the adaptation costing framework and training on its application; and developing a mechanism and guideline for synergizing approaches for adaptation planning across different cross cutting issues were completed while the evaluation was being conducted (which is during the 2024 project extension).

Finding 8. All four sub-outcomes contribute clearly and concisely to the overall Outcome 4. The barriers to Outcome 4 are identified as: i) no comprehensive M&E framework to track CCA projects to track progress on CC resilience in Bhutan. The evaluation finds that Outcome 4 and the four sub-outcomes are the result of addressing all barriers listed in the Theory of Change and that since Outcome 4 is actually the same as ultimate goal, that the goal statement could be re-stated as mentioned above.

The activities to drive the achievement for Outcome 4 all relate to the development of the NAP and include the drafting, a peer review, with sectoral consultations; the development of a NAP implementation strategy, an M&E framework, the strategy for the launch of the NAP; and the development of adaptation criteria to be applied within the government performance management system to report on CCA relevant investments and expenditure. These activities complete the required process for the NAP, as per the UNFCCC guidelines and directly contribute the achievement of Outcome 4.

4.1.3 Results Framework

Finding 9. The results framework as presented in the ProDoc[11] is well set out, with the outcomes, baseline data, targets and activities and presents a clear guiding document for the NAP readiness project. The activities are well described, each with clear deliverables. The only element missing is the set of indicators, which were developed later in consultation with the Gross National Happiness Commission, the NDA and National Environment Commission Secretariat. The indicators were approved by NDA and finalized on 28th June 2021. Measuring outcomes is very important to monitoring overall project progress, and the use of indicators facilitates that process. Once the indicators were developed and included in the results framework, more accurate M&E was possible, project monitoring likely wasn't compromised as a result of the delay in establishing indicators.

Finding 10. There was no apparent requirement for gender-disaggregated data for the indicators in the Results Framework. The NAP project was targeting government policy and planning processes and there is a need for gender parity and the integration of gender equality concerns in the policy a planning processes, thus disaggregated data would be useful. Data disaggregation is also critical when local communities and more vulnerable populations are targeted, which will likely be the case in subsequent iterations of the NAP.

Annex 7 is an analysis of the results framework in terms of activities achieved. Table 3 below lists the outcome indicators, with their targets as well as baseline data. Each indicator was reviewed using the SMART criteria and an additional ranking of whether the indicator was achieved or not is also included.

[11] section IV page 20

Table 3. An evaluation of the indicators presented in the Results Framework using "SMART" criteria
(Specific, Measurable, Attributable, Relevant, and Time-bound/trackable/targeted) The rating shown as green for "compliant", yellow for "questionably compliant", and red for "not compliant").

OUTCOME INDICATORS	BASELINE	Achieved, Partially Achieved, Not yet Achieved	FINAL TARGET	Evaluation of Indicator					Evaluation Comments
				S	M	A	R	T	
Output 1.1: Protocol and institutional coordination pathways established									
NAP Protocol and guidelines including the stakeholder engagement plan formulated	Scattered policies and organizational mandates, which limit the ability of the government to programme adaptation actions in a targeted and coordinated manner		*Clear and concise pathways of communication, reporting, and organizational structures for CCA based decision making.*						
Output 1.2: Learning and understanding for climate risk informed planning of decision makers improved									
Capacity and skills assessment report outlining strategies for strengthening institutions and number of participants benefitting from climate change training	Unclear understanding of skills necessary for CCA policy decision making. Government and official staff trained in scientific and technical skills for CCA decision making.		*A cadre of trained staff in C4 & NEC who can effectively advance the NAP process.* *Opportunities to improve capacities within governmental organizations through engaging similar decision makers in other countries with similar contexts.*						C4 does not appear to be involved
Output 1.3: Knowledge management systems to strengthen climate responsive planning									
Climate change platform for Bhutan developed and operationalized	No comprehensive list of all adaptation related actions in country. Activities in parallel on similar themes with organizations working on SDGs.		*A "one stop shop" for all CCA efforts for Bhutan.*						
Outcome 2.1 Assessment of gaps and needs in the data and information requirements for adaptation planning done and scenarios prepared									
Reports prepared highlighting the existing information and future vulnerability/risks	Disjointed information and knowledge database, the collective knowledge is not creating a complete picture of climate change or adaptation at a national level in Bhutan.		*Coherent knowledge base on CCA at a national level, with clear gaps identified, and methods to close them.*						Difficult to measure during the NAP, only possible once CCA is implemented after the NAP is in place
Outcome 2.2 Capacity across research institutions, scientific community, and universities enhanced									
Climate research strategy and roadmap developed, and partnerships and trainings organized for building national capacities.	Scientific CC knowledge not produced locally, and not scaled at all appropriate levels		*Local knowledge networks which are proficient in producing localised, and Bhutan context specific CC information.*						

Outcome 3.1 Climate vulnerabilities assessed, and adaptation options identified across all sectors identified.									
Sectoral Adaptation interventions identified through vulnerability assessments and number of officials trained	No sector specific adaptation information		*Sector specific CCA options exist*.						
Outcome 3.2 Sectoral Adaptation interventions identified through vulnerability assessments and number of officials trained									
Sectoral Adaptation interventions identified through vulnerability assessments and number of officials trained	Water resources lacking the appropriate strategy for CCA		*Options exist for tackling CCA in the water sector.*						
Outcome 3.3 Screening tools to facilitate the integration of climate change adaptation into development planning applied.									
Screening guideline and adaptation costing framework developed, and relevant staff from GNHCS, NECS, and Ministry of Finance trained on using them.	No method to cost CCA projects	**to be done in 2024**	*Formalised set of tools and guidelines to estimate financial costs and implications of CCA projects.*						
Outcome 4.1 National Adaptation Plan formulated and communicated.									
NAP formulated through a consultative process and finalized by October 2021	No existing NAP draft		*Draft of NAP formulated*						The first draft of the NAP was completed one year later in Oct 2022
Outcome 4.2 Strategy for NAP implementation developed.									
Implementation strategy developed as a chapter in overall NAP document	*NAP's implementation strategy not created*		*NAPs implementation strategy created*						
Outcome 4.3 Outreach on the NAP process and report on progress and effectiveness developed.									
NAP formulated through a consultative process and completed and finalized by October 2021.	*Relevant agencies and divisions unaware of the NAP and its contents.*		*All relevant and concerned parties are aware of the NAP and its contents.*						Indicators for outcomes 4.1 and 4.3 are the same – the indicator for 4.3 needs to change
Outcome 4.4 System to report, monitor and review the NAP process established.									
M&E framework for climate resilience monitoring developed and communicated with sectoral agencies.	*Limited GPMS system to track progress, but not for CCA specifically.*		*Detailed tracking of all CCA projects along with updates and resource allocations.*						The target does not align with the indicator – as the target applies to after NAP

									implementation

4.1.4 Assumptions and Risks

Finding 11. The NAP Risk Log[12] identified seven risks, all of which were logical and robust and which appear to have informed the activities. Three risks had a very high impact (two with I=5 and one with I=4); two risks had a relatively high impact (I=3); and two had a relatively low impact (I=2). The most critical risk identified (I=5 and P-3) was considered to be problems related to the involvement and cooperation of stakeholders to provide the project team with data.

Another high impact risk but lower probability was that governments would not have funds for sustaining the arrangements set out in the NAP once the project finished. Also related to sustainability with a high impact (I=5) but relatively low impact (P=2) was that there would be a lack of political will to support the project.

The most critical risk identified in the ProDoc (that of cooperation of stakeholders to provide the project team with data) (refer to Table 4 below) was later downgraded to a "low risk" significance level with a low probability of occurring. This is likely due, in large part, to the efforts of the project to ensure the TWG was represented by agencies that generate and provide data. The next highest risk identified in the ProDoc risk log (lack of government funds to sustain project arrangements) was also downgraded to a low risk with a low probability, likely due to the mitigating effects of awareness-raising among the key decision-makers and the stakeholder involvement plan, developed early in the project, which set out measures to maintain support at the highest-level.

Finding 12. The Risk register in the ProDoc was not *regularly* updated, as there was no evidence of this in the Biennial Progress Reports (BPR) or Board meeting minutes. The one updated NAP risk register log (an excel file with date undetermined) identified COVID as a substantial high level operational risk with extensive impact in the time period from Mar 2020 to Dec 2022. Also, risk impact and probability of all risks were updated.

Table 4. Comparison of Risk ratings between ProDoc and updated risk log

Risk	Rating in ProDoc		Rating in updated risk register		Mitigation Efforts
	Impact	Probab-ility	Impact	Probab-ility	
Problems related to involvement and cooperation of stakeholders to provide the project team with data	5	3	1	1	Clear commitment will be obtained from across government agencies to contribute to data collection and dissemination of data.
Governments will not have funds to sustain the national arrangements, once the project ends	5	2	2	2	Outcome 3 of the project will involve formulating mechanisms for scaling up investments and addressing financial gaps to guide: Awareness raising among decision makers; Securing Ministry of finance as a key partner; Outreach to potential donors and private sector investors.
Conflicts among stakeholders as regards roles in project	3	2	3	2	Stakeholder involvement detailed in Stakeholder Engagement plan; Timeline developed for NAP process and updates communicated; Monitoring process to contribute evidence to respond to challenges identified during implementation.

[12] ProDoc Annex F page 52

Lack of political will to support project	4	2	2	2	Awareness-raising among decision-makers; Develop leadership, champions for change; Stakeholder Involvement plan to set measures to maintain high level support; Support to gov't to organize consultations to maintain gov't ownership
Poor coordination	3	3	3	3	Clear project management arrangements finalized in the inception phase, including a comprehensive budget and work plan with clear roles, responsibilities, tasks and timeframes for implementation.
Limited capacity within relevant ministries and insufficient qualified human capacity.	3	2	3	3	Project is to strengthen institutional and regulatory capacity, building on existing country-based initiatives, e.g. those with national climate change learning strategies already in place.
Excluding any potentially affected stakeholders from fully participating in decisions that affect them.	2	2	3	2	The project implementing team will conduct M&E of each stakeholder Engagement activity to ensure they are fully inclusive; management processes to be adjusted to ensure stakeholders are able to engage.
Community health, safety and security – COVID pandemic	Not identified in ProDoc		4	4	Adaptive management shifted activities accordingly

Finding 13. The high turnover of government employees which is a critical risk for sustainability was included in the risk register in last stages of the project.[13] The high government work force attrition was not anticipated and therefore not identified in the first two risk registers. As in many long term projects, staff turnover is a risk and best to be contemplated early on in the project cycle so a mitigation strategy can be used if needed.

4.1.5 Lessons from other relevant projects incorporated into project design

Finding 14. Bhutan's NAP readiness project builds on years of government policy and strategy on the environment and is a culmination of a process of developing climate-related policies and strategies. The environment is enshrined in Bhutan's Constitution (Article 5) and its development philosophy of Gross National Happiness where conservation of environment features as one of its four pillars. The GNH vision on environment has been integrated in the various initiatives on Gender, Environment, Climate Change, Disaster and Poverty (GECDP) into plans, programmes, and projects. There is also Government policy such as the Climate Change Policy 2020, the NAPA and the NDC, Adaptation Communications (ACs), Technology Needs Assessments (TNAs)[14] etc. that have placed Bhutan on the front lines of climate change over the years.

It was intended that the NAP would build on the strong synergies already initiated and continue to work with UNDP and RGoB which work together on ongoing and past adaptation and readiness work in Bhutan, such as the GCF Readiness and Preparatory Support project "Strengthening the Capacity of NDA to access resources from the Green Climate Fund".

Finding 15. Multiple and diverse stakeholder perspectives were a key part of the NAP process, as the Stakeholder Engagement Plan outlined opportunities for learning and interaction. A full Stakeholder Engagement Plan (SEP) is a requirement of the NAP process. Stakeholder consultations for the NAP project began in 2016 during the launch of the project by the Prime Minister, RGoB. The engagement plan outlines the

[13] this risk was mentioned while the evaluation was concluding
[14] refer to page 9 of the Project DOA initiation doc for a list of all pre-NAP gov't policies related to CC

interactions between groups of people from relevant ministries and departments at different levels and provides an opportunity for them to raise concerns and share opinions by way of meetings, surveys, interviews, etc. Engaging stakeholders in this way ensures that multiple and diverse perspectives are considered in project decisions. A stakeholder analysis was initially developed based on government CCA projects, such as the NAPA and NDC. The stakeholders include the NEC (as the designated lead agency for the NAP process) and the GNHC (as the Nationally Designated Authority for GCF), as well as all relevant government Ministries, Departments, Local Governments (Dzongkhag, Thromdes, and Gewogs), NGOs, CSOs, Academia (such as RUB), RIM and the private sector.

Output 2.2 aimed to develop partnerships with international, national and sub-national training institutions, research institutes and universities for peer-to-peer learning and knowledge transfer. This was done through consultation meetings with universities and research departments and the scoping of joint areas of cooperation and research capacities. Another key partnership arrangement developed for the NAP was the Technical Working Group (TWG) which represents an amalgamation of UNDP, government agencies NECS, GNHC, NCHM, MoHCA, MOAF, DLG, academia and research Institutions, CSOs (Tarayana Foundation and RSPN), Local Governments and the Private Sector.

Finding 16. The stakeholder engagement (SEP) plan was a comprehensive document designed to engage a wide range of stakeholders, however, the Tourism sector was not included in the NAP SEP. The tourism sector was initially listed in the SEP as a stakeholder for the NAP, since tourism was found to be responsible for about 5% of global CO_2 emissions which includes the transport sector with air travel as the main emitter. The accommodation sector contributes to about 20% of emissions from tourism which involves heating, air-conditioning and the maintenance. While a significant contributor to climate change, there is also a role for the tourism sector in adaptation. Conservation tourism, for example, can play a role in forest maintenance, and provide alternate income generation for households and communities who may struggle with climate change impacts on agriculture and other natural resource-based livelihoods. However, the tourism sector was not included as a stakeholder for the NAP.

In addition to the Stakeholder Engagement Plan, a skills assessment was done for the NAP. In general, the assessment found that skill sets at the Central Government level were either somewhat adequate or in the process of being developed, while LG and private sector knowledge were found to be lacking.

4.1.6 Linkages between project and other interventions within the sector

Finding 17. There are strong links between the NAP and the Development Agenda outlined in the Sustainable Development Goals. There are linkages between the NAP and other complementary interventions, such as the government Sustainable Development Goal (SDG) initiative. The SDG Structured Dialogue Report is a means to enable Bhutan to harmonize addressing SDGs, National Key Result Areas (NKRAs) such as Healthy Ecosystems and Climate and Disaster Resilient development with activities designed to address adaptation in the NAP. The SDGs reinforce the need for action on adaptation goals across a range of sectors and the NAP process provides a means to operationalize these goals. The structured dialogue with institutions working on localising SDGs to ensure that climate change risks and adaptation options for relevant SDGs goals and targets were included in the NAP stocktaking exercise and reflected on the platform.

Finding 18. The NAP has links to, can learn from and also contribute significantly to ongoing climate change adaptation projects in Bhutan. For example, in May 2015, during the “Dialogue on Climate Resilient and Carbon Neutral Development”, the stocktaking session reported that there were 53 ongoing climate related projects across various sectors[15] and there is a full list of “complementary initiatives” in the Project DOA. The GCF has supported Bhutan for “climate resilience and transformational change in the agriculture sector” and the cross-cutting project “Bhutan for Life” which addresses climate change mitigation issues and some interventions on ecosystem-based adaptation. in addition, there is currently a proposal for an Urban Resilience Project to access funds under the GEF’s Least Developed Countries Fund (LDCF). The proposal is based on risk

[15] NAP Implementation Progress Report

assessments undertaken by the NAP readiness project which has shown high exposure of the Thimphu-Paro region to climate-induced hazards.

4.1.7 Gender Responsiveness of project design

Finding 19. The NAP was aligned with the NDC gender assessment[16], as well as a limited number of reports produced in Bhutan. The project DOA initiation plan for the NAP (2019) states that the NAP project would collaborate with the Intended National Determined Contributions (INDC) - Low Emission Capacity Building (LECB[17]) Programme (together as INDC/LECB) 2nd phase program to conduct a gender assessment to "clearly understand climate-gender links" to ensure that a gender action plan on CCA is clearly articulated and to act as a baseline for future climate-related projects. The lessons learned from the gender analysis report for the UNDP/GEF/LDCF's project on **"**Enhancing sustainability and climate resilience of forest and agriculture landscape and community livelihoods in Bhutan," were to be used for the NAP project as well. Box 3, page 49 of the NAP outlines how gender was integrated into the NAP process: the climate risk assessments considered gender differentiated impacts of climate change; gender considerations in adaptation priorities and needs part of the NAP formulation; gender disaggregated data for monitoring and reporting is to be collected for NAP projects; and capacity building for identifying gender differences in adaptation needs and capacities, participation and influence in decision making, as well as benefits resulting from investments in adaptation is equitably accessible.

Finding 20. The results framework for the NAP project does not have gender-specific outputs or indicators. The Oversight Mission Report (29 March 2021) concluded that the NAP project had "No Gender Action Plan, no gender analysis nor gender indicators in M&E plan". Based on the UNDP Quality Assurance Assessment Guidelines for Project Design (ProDoc page 55), a gender assessment does not appear to be fully integrated into the project. Integration would include concrete priorities to address gender inequalities; and the results framework would include outputs and activities that specifically respond to a gender analysis, with indicators that measure and monitor results contributing to gender equality.

Upon examination of the NAP ProDoc and the Project Inception Report, as well as the NAP document itself, the evaluation found the following regarding the integration of GE:

- The NAP Theory of Change does not make explicit mention of gender.
- Outcome 2, sub-outcome 2.1 (ProDoc page 15) does mention gender assessment in up to two sectors in collaboration with the NDC/LECB program (NDC Implementation Support Program). However, no gender-related indicators were included in the NAP results framework.
- Outcome 2, sub-outcome 2.2 states that training programs will "include gender components developed in relation to all the topics in the curriculum." No gender-related indicators were included.
- The NAP project design mentions the differential impact of the project's development situation on gender relations, women and men, but the constraints were not clearly identified along with the appropriate interventions.

Finding 21. The project rated itself the UNDP gender equality (GE) marker of 2, which is something to strive for in the next NAP iteration, as the current NAP is closer to a GE-1. The GE marker 2 means that while GE is not the main objective of the expected output, but the output (in this case sub-outcome 2) "promotes gender equality in a significant and consistent way. GE is adequately integrated as a cross cutting issue by the rationale, activities, indicators and budget associated with the output." The evaluation found that since there were no specific GE indicators and GE was not explicit in the rationale for the outputs, the project is actually closer to GE-1 (which means the output contributes in a limited way to GE but not significantly and GE is not consistently mainstreamed and has not been critical in project design[18]).

[16] as stated in the ProDoc
[17] joint initiative between the European Commission (EC), governments of Germany and Australia, and the United Nations Development Programme (UNDP). It was implemented by UNDP.
[18] https://gendercoordinationandmainstreaming.unwomen.org/gender-marker-implementation-undp

4.2 Project Implementation

4.2.1 Adaptive management

Finding 22. The project appeared to be proficient at adaptive management and integrated several changes in order to complete the project within the allocated time frame, which includes the no cost extension. Changes were made to the project during implementation that altered both the design of and timing of activities and despite the changes, the outcomes and the project goal were reached.

Finding 23. It is noted, however, that recommendations in the Oversight Mission Report (Mar 2021) were not well integrated into the NAP. The Report stated that the NAP project had no Gender Action Plan, no gender analysis nor gender indicators in M&E plan. While gender was integrated into the NAP project, there were no additional indicators added to the results framework to respond to this observation.

Adaptive management was initiated due to three main factors:

i) **COVID 19 travel restrictions** had the most significant impact on the project, and limited training, consultations and international travel as well as the climate risk and climate vulnerability assessments under Outcome 2 (2.1.2, 2.1.3 and 2.1.4) and Outcome 3 (3.1.1, 3.2.1 and 3.2.3) which were initially planned to be started in the first quarter of 2020 but were delayed due to the lockdowns. Due to the COVID-19 travel restrictions, these assessments could not be started as planned.

The Project Team came up with a suite of alternative ways of conducting consultations remotely, reaching out to institutions like ICIMOD to conduct the CVA training for TWG members remotely. They also explored engaging international experts in partnership with local experts to conduct assessments. The climate risk assessments (CRA) were carried out with the international consultants delivering the training virtually and the local experts facilitating.

The direct change to the project design was the engagement of national experts instead of international experts for several activities. Delays in the timing activities due to lock downs and the inability of people to meet face to face for trainings and meetings were overcome through virtual meetings, workshops and consultations (BPR Jul-Dec 2021). This example of adaptive management due to an unanticipated risk was successful in that the activities were completed.

ii) **Review of the consultation methodologies**: Project monitoring conducted during project implementation found that project activities were highly fragmented, and synergies were not being developed. Adaptive management as a response to this finding involved grouping activities together, combining assessments, conducting capacity development in regions (instead of people all travelling to Thimphu), conducting back-to-back meetings and consultations and working closely with similar initiatives within the government to reduce costs. There was also a recognized overlap between the vulnerability and adaptation assessments done under Third National Communication and those planned under NAP in 2020. An independent review was carried out and recommendations were provided for the way forward.

Iii) **No cost extension**: Impacts on delivery modality and the associated adaptive management steps taken in terms of activities that were deferred and to be undertaken during the no-cost project extension were clearly tabulated in the Biannual Progress Reports (BPR). Outcome 4 was affected by COVID travel restrictions and it was decided that writers of the NAP document would change from a team comprised of an international consultant and a local consultant to a team of only local consultants working with TWG to write the NAP. By shifting to national consultants, activities 4.1.4, 4.1.5, 4.2.1, 4.3.1, 4.3.2 could maintain their existing schedule and minimize disruptions.

4.2.2 Actual stakeholder participation and partnership arrangements

Finding 24. Strong partnerships were developed during the NAP process, as shown in the TWG and Project Board. As mentioned earlier in this report, the NAP process stems from a relatively long history of climate change-related government interventions, including the Climate Change policy 2020, the NDC and the NAPA with the NAP process itself in development since 2015. Therefore, government agencies were on board for the NAP due to the history of engagement with CC issues. Both national and local government stakeholders were engaged members of the TWG, involved in capacity building initiatives around CRA and CVA for the four key sectors. Both the TWG and the Project Board were mechanisms for a range of relevant government agencies, as well as CSO's, academia and the private sector to take an active role in project decision making to support the NAP project.

Finding 25. The evaluation notes that the Climate Change Coordination Committee (C4) was initially included as a key partner in several activities and outcomes in the results framework, but now appears to be non-operational. The last BPR Jul-Dec 2022, stated that the draft NAP was to be presented to the C4 who were regarded as "the apex technical body on Climate change prior to submission to UNFCCC". Responsibilities of the C4 were also mentioned in the NAP document which states, for example, that the M&E would be reported through the C4 to the NEC/NCCC and that overall progress and achievement of NAP Priorities would be evaluated by the C4. The absence of the C4 was seemingly not recorded in the project documents, and it is assumed that the duties of the C4 have been taken up by another technical body, such as the NEC and its Secretariat.

Finding 26. While the TWG partnership included women as well as a CSO headed by a woman, there was no specific involvement of women's groups in the TWG. Such groups could include local women's groups in Bhutan or larger agencies such as UN Women.

Finding 27. Consultations with local vulnerable communities were not conducted for the NAP despite stated intentions in the ProDoc. The evaluation found that while there are good consultation practices described in the ProDoc under under section VIII Guidance and Management Arrangements (page 32 para 39) consulting with local vulnerable communities was not conducted for all sectors, and only for the water sector and for the NAP document finalization. As stated in the ProDoc, "local stakeholders and community members have a key role in the implementation and monitoring of the project. During the inception phase of the project, the GNHC and NEC working together with UNDP, will consult with all stakeholders, including vulnerable community members, NGOs, Community Based Organization, civil society, women organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms."

4.2.3 Project Finance and Co-finance

The GCF grant amount is USD 2,764,847.26. Including the delivery partner fee (8.5%) of USD 235,012.02, the total amount for the NAP was USD 2,999,859.28. Table 5 below shows the actual expenditures (as documented in the Combined Delivery Reports, CDRs) as a percent of planned budget expenditures (budget in the ProDoc) by outcome and by year (illustrated in Charts A and B below).

Finding 28. The total expenditures for the four outcomes plus project management vary considerably over the four years. Table 5 lists the budget amounts and actual expenditures by outcome and by year. Chart A below illustrates the underspending for all four outcomes with outcome 2 showing the least spent (36.5% spent by year 4). This is likely because the capacity development was done virtually instead of in person, so resources were saved. The outcome with the highest expenditure was outcome 1, at almost 70% spent by year 4. The level of spending by year shows very little spending in year 1 (just under 12%) which dramatically increased by Year 4 (at 280%).

In the years 2-4 there was a contribution from UNDP TRAC funds, considered here as co-financing (refer to Tables 6 and 7). The TRAC funds were utilized for covering the meeting participation costs (DSA & car hire) of UNDP staff performing oversight roles for the project.

Table 5. Planned vs Actual Project Expenditures

Project Outcomes	Year 1		Year 2		Year 3		Year 4		Total		Actual / Planned by outcome (%)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Outcome 1	133,057.20	28,250.29	373,752.20	62,854.44	61,467.20	135,103.84	30,967.20	191,886.56	599,243.80	418,095.13	69.8%
Outcome 2	351,467.20	34,790.25	295,069.66	107,235.43	4,967.20	69,667.60	4,967.20	28,234.59	656,471.26	239,927.87	36.5%
Outcome 3	39,980.20	ND	153,520.20	171,206.44	879,300.20	143,133.72	32,530.20	143,486.61	1,105,330.80	457,826.77	41.4%
Outcome 4	52,267.20	ND	61,717.20	1,937.24	82,642.20	30,799.10	79,142.20	98,112.19	275,768.80	130,848.53	47.4%
Project Management (PM)*	32,008.15	8,624.41	32,008.15	24,021.00	32,008.15	38,986.84	32,008.15	42,591.04	128,032.60	114,223.29	89.2%
UNDP TRAC[19] (from the CDR)		0.00		10,521.92		22,166.70		11,947.56		44,636.18	
GCF R&P		71,774.76		358,380.09		395,524.40		492,363.43			
Total (outcomes 1,2,3, 4 and PMU)	608,779.95	71,774.76	916,067.41	368,902.01	1,060,384.95	417,691.10	179,614.95	504,310.99	2,764,847.26	1,362,678.86	
Planned / Actual by year (%)	**11.8%**		**40.3%**		**39.4%**		**280.7%**		**49.3%**		

Finding 29. An examination of project expenditure indicates that there was a large underspend during the first three years. COVID 19 travel restrictions delayed the implementation of several activities in year 2 and 3. By year 4 when restrictions were lifted, there was a very large overspend, at ca. 281% over planned (Chart A). Chart B illustrates the actual expenditures as a percent of planned expenditures for each outcome and for project management, which shows that less than half of the budget was spent for outcomes 2, 3 and 4 and 70 percent was spent for outcome 1. The data available at the time of the evaluation (latest CDR report used was from 2022[20]) indicates that slightly less than half of the budget for the entire project was spent by year 4. It is assumed that there will be more spending during the no cost extension period to May 2024 to carry out any activities that were incomplete at the time of the evaluation.

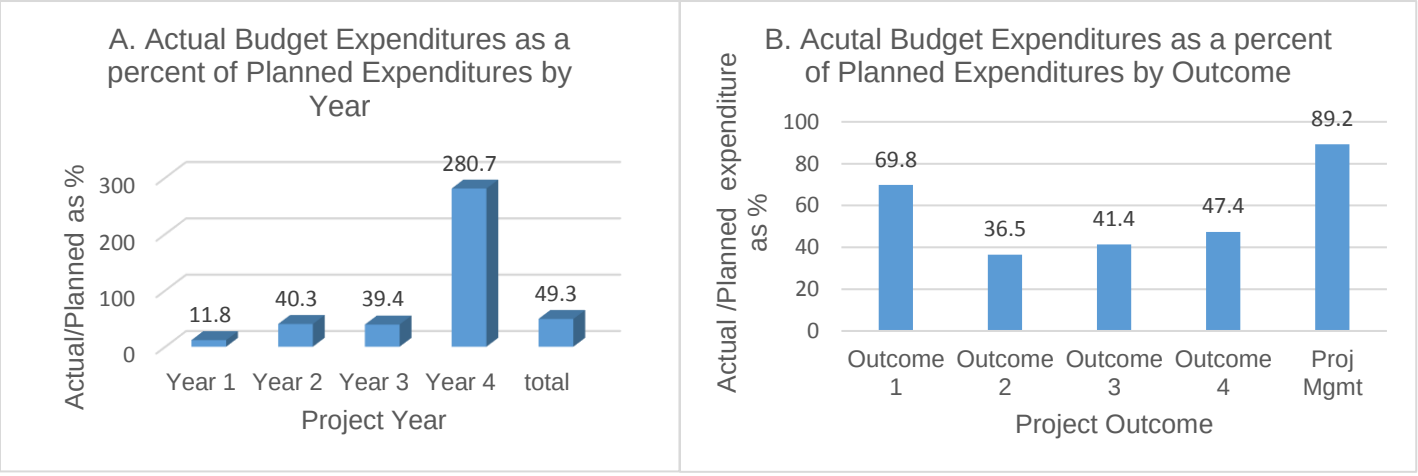

Table 6. Sources and type of project co-financing (Amounts in USD)

[19] Target for Resources Assignment from the Core
[20] a 2023 CDR was made available later in the evaluation but data were not complete so it wasn't used in this analysis

Co-financing type/source	UNDP financing		Government		Partner Agency		Total	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants		44,636.18						44,636.18
Loans / concessions								
In kind support								
Other								
Total		44,636.18						44,636.18

Table 7. Confirmed sources of co-financing at TE stage (Amounts in USD)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Total Amount
UNDP		TRAC funds		44,636.18

An audit of the Bhutan CO was conducted by the Office of Audit and Investigations (OAI) of UNDP (report dated Oct 2023). Most relevant to this NAP evaluation is the performance audit of development activities: project monitoring and management. The OAI gave an overall "satisfactory" rating to the CO and the review showed that project administration and monitoring activities were adequately undertaken to support the achievement of project[21] results and were timely executed.

4.2.4 Monitoring & Evaluation
design at entry, implementation, and overall assessment of M&E

Most of the M&E conducted for the project is the responsibility of the UNDP CO, involving the Portfolio Manager, RBM specialist and the DRR manager. Involved in M&E oversight is the Project Manager, Project Board, the UNDP CO and the UNDP Regional Technical Advisor (RTA). The ProDoc outlined the M&E Plan at project inception, which clearly stated that results as outlined in the project results framework would be monitored and reported bi-annually and evaluated periodically during project implementation. Monitoring was completed for every biennial progress report. The Project Board, in their oversight role, met regularly six times between Jul 2019 and Feb 2023. The Board meeting minutes indicate that project updates were given on each outcome and the workplan and Board members used the opportunity to question and comment, providing useful input to project progress.

Finding 30. There was a comprehensive Project Results Framework developed with careful project level M&E. The results framework developed at project inception contained baseline data, and targets, sources of verification and activities for each outcome and sub-outcome. Biannual reporting effectively documented progress on activities, updated work plans and budget expenditures, all clearly recorded in the biennial progress reports (BPR) and shared with the Project Board in their oversight role, as well as the GCF. The risk register was updated one time (refer to section 4.1.4). The M&E oversight and monitoring responsibilities are outlined in the ProDoc.

Finding 31. The monitoring and evaluation plan (M&E) at project inception as outlined in the ProDoc indicates that indicators were not developed at project inception. M&E indicators were developed later, in Year 3 (2021) in consultation with the National Delegated Authority (NDA) from the GNHC and NEC. Developing indicators after the project has begun is considered standard practice and is compliant with the GCF template/procedure at the time of the project's design.[22]

[21] the audit team reviewed 5 out of 27 active development projects
[22] RTA personal communication

The NAP document M&E plan is considered at three levels: i) to assess progress in implementing the adaptation priorities as well as progress in the NAP process; ii) national level reporting on progress towards developing climate resilience in Bhutan; and iii) to contribute to international obligations for reporting under the Paris Agreement.

Table 8. Overall Rating of Project M&E

Monitoring and Evaluation (M&E)	Rating
M&E design at entry	Satisfactory
M&E plan implementation	Satisfactory
Overall quality of M&E	Satisfactory

4.2.5 UNDP implementation/oversight and Implementing Partner execution, overall project implementation/execution, coordination, and operational issues

UNDP, as the GCF-accredited entity and the implementation partner in this Direct Implementation Modality (DIM) project is mandated to provide a three-tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels (ProDoc). The quality assurance role is intended to support the Project Board by carrying out objective and independent project oversight and monitoring functions and to ensure project management milestones are managed and completed. Quality assurance is considered independent but supportive of the Project Management function.

Finding 32. UNDP was found to have delivered effectively on activities related to project identification, concept preparation, appraisal, preparation of detailed proposal, approval and start-up, oversight, supervision, completion and evaluation. Despite setbacks in activities due to COVID 19 restrictions, Bhutan's first NAP was completed and it is anticipated that all activities will also be completed by the time the no-cost extension to May 2024 is finished. The UNDP Country Office (CO) was responsible for RBM and was considered very supportive and functioned to connect the NAP project with other countries in the region.

Finding 33. More technical support from the UNDP CO would have assisted in carrying out the Climate Vulnerability Assessments. This shortcoming was addressed by the technical expertise within the TWG.

Table 9. UNDP Implementation and Oversight Ratings

UNDP Implementation/Oversight & Implementing Partner Execution	Rating
Quality of UNDP implementation/oversight	Satisfactory
Quality of implementing partner execution	Satisfactory
Overall quality of implementation/oversight and execution	Satisfactory

4.3 Project Results

Table 10. Ratings of Outcomes

Assessment of Outcomes[23]	Rating

[23] 6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings
5 = Satisfactory (S): meets expectations and/or no or minor shortcomings

Relevance	6
Effectiveness	5
Efficiency	4
Overall Project Outcome Rating	5

4.3.1 Progress towards objective and expected outcomes

The Project aimed to support the RGoB to advance the NAP formulation and implementation process and to put in place a robust implementation, monitoring and evaluation system. In so doing, the Project has contributed to the UNSDPF Outcome 4[24], the Country Programme Document Outcome 2[25] and the UNDP Strategic Plan Output 2.3.1.[26] Towards these objectives, the project was underpinned by four interlinked outcomes: i) Enhanced coordination, learning and knowledge management for an iterative NAP process; ii) Technical capacity enhanced for the generation of climate scenarios and impact assessment; iii) Vulnerability assessments undertaken and adaptation options appraised and prioritized; and iv) NAP formulated and capacity for implementation and monitoring established.

These outcomes build on earlier initiatives under NAPA, NAPA II, NDC, the national communications to the UNFCCC and other projects while instituting mechanisms to catalyse scaling up of adaptation actions in the medium to long term. These mechanisms are built around five barriers to the advancement of NAP process in Bhutan: a) gaps in coordination; b) limited broad-based learning and awareness; c) limitations in technical capacity for climate information; d) limitations in systematic identification and appraisal of adaptation options; and e) lack of a comprehensive M&E mechanism. The barriers form the basis of the four outcomes of the Project and clear progress has been made towards achieving results:

Outcome 1: Enhanced coordination, learning and knowledge management for an iterative NAP process.

Finding 34. There is consensus that coordination has been generally enhanced across sectors and government departments. National leadership through the Department of Environment and Climate Change, DECC (previously through the National Environment Commission, NEC), continues to be provided. Various mechanisms were used, notably the Bhutan Climate Platform (BCP), to bring together all sectors engaged in climate change planning and implementation and to build the capacity to update information and data to the platform. The process of developing the country's first NAP was structured to bring together key stakeholders through a comprehensive stakeholder engagement plan. The project implementation modality that utilized a Project Board, the technical working group (TWG) and the project management unit (PMU) were mentioned by several partners as being platforms for multi-sector engagement. Despite the highly representative nature of the Project process and structure, greater consultations and engagement of field-based practitioners and experts was recommended during interviews. A more nuanced identification of stakeholders was also recommended; for example, the production side of the agriculture sector was felt to be well represented but not the marketing component.

4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings
3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings
2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings
1 = Highly Unsatisfactory (HU): severe shortcomings

[24] Outcome 4: Bhutan's communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss as well as economic vulnerability

[25] Outcome 2: By 2023, Bhutan's vulnerable communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss

[26] Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis.

Finding 35. Initiatives for learning and knowledge management helped participants mobilize cross sectoral knowledge and support. Learning and knowledge management focused on climate risk-informed planning at the policy, organizational and operational levels. Capacity gaps were identified for training needs. The skills assessment[27] concluded there was a certain level of climate change capacities in central government agencies but a lack of such knowledge within local government and in the private sector. This perception was also expressed in discussions with respondents during the evaluation. The Project addressed capacity gaps to a certain degree through a Training of Trainers (ToT) approach, who in turn trained local government and mid-level government officials. The training content and methodology were found to be generally relevant and effective, however some respondents found the virtual and hybrid methodology used due to COVID 19 restrictions to be less effective than in-person training.

Finding 36. The knowledge platform, the Bhutan Climate Platform, has been developed and is a significant achievement for the NAP project. While the Bhutan Climate Platform has been developed and is a good forum for learning and knowledge exchange, it is currently not being used to its full potential due to the loss of human resources in the Department of Environment and Climate Change (DECC).

Finding 37. Research institutions and universities play an important role in identifying data gaps and informing policy decisions and integrating climate into the curriculum. which is also an important sustainability instrument and acknowledged as such by the Board members and participating institutions such as the Royal Institute of Management and the College of Natural Resources. The inclusion of non-conventional actors such as the Office of the Attorney General (OAG) for legal matters related to climate and environment was acknowledged as important for cross border issues of climate change and disasters.

Outcome 2. Technical capacity enhanced for the generation of climate scenarios and impact assessment

Finding 38. Trainers observed an increase in knowledge within local governments as a result of awareness programs, for example, in agriculture, water, and observing weather patterns. There exists a high degree of support for mainstreaming climate change into plans and programs. However, some doubts were expressed on how far knowledge will be translated into adaptation practices and resilience building at the community level. The technical nature of vulnerability and impact assessments and the limited experts available in the country was also reported as a challenge to mainstreaming.

Finding 39. Local leaders are influential and are key players in the Gewogs. For this reason, it is important they have the training they need on climate change adaptation so they can influence the public on CCA. The need for continued capacity building and development at the local government level is underscored by the fact that the RGoB government resource allocation formula for the 13th Five-year plan is that 70% of resources for CCA have to go to the local level.

Finding 40. Partnerships with national training and research institutions (e.g. RIM, UWICER) and colleges under the Royal University of Bhutan (e.g. CNR, Sherubtse) were forged during the NAP process which have enhanced the integration of CC across government departments. Particularly at RIM, three training modules (online, management, finance) have been integrated into the institute's curriculum for entry level civil servants under their Foundation In-service Training programs. The module for local government did not materialize, possibly affecting integration into local plans and priorities if not taken up through other avenues. During the evaluation process, two groups had successfully completed the modules in RIM. CNR was also closely engaged in rolling out trainings and mentioned that participants were most interested in the 'how to' and in the use of data and tools to climate analyse vulnerability, among others. Here, the IDRC-funded development of climate studies at the PhD level in CNR offers an avenue for collaboration. Regional and global contacts were also established through participation in global NAP expos (an expo in Botswana was mentioned by several respondents as a useful networking platform).

[27] Skills Assessment for NAP Formulation Process in Bhutan

Outcome 3. Vulnerability assessments undertaken and adaptation options appraised and prioritized

Following a stock taking exercise, detailed vulnerability and climate risks assessment of four climate sensitive sectors (agriculture, forests and biodiversity, health, and water) were undertaken and adaptation options identified by Thematic Working Groups (TWGs). The climate risk assessments build on risks and adaptation options in the Third National Communication (TNC) 2020. However, in addition, the NAP project provided technical capacities and platforms for consultations to develop detailed climate risk assessments in the four sectors which now serve as reference documents for Bhutan's NAP. The adaptation priorities identified through these assessments have informed the adaptation priories and enabling activities in the NAP.

Finding 41. A clear value added of the NAP project was the in-depth technical assessments and highly consultative discussions undertaken in preparing the CRAs in the four priority sectors. The CRA and CVA assessments serve as the basis for identifying priority actions to address vulnerabilities and climate risks across the seven identified sectors, and links these to enabling activities needed to support the implementation of priority adaptation needs. The identification of the seven sectors for adaptation priorities is also considered by some respondents as an important contribution of the project. CVAs were conducted for four sectors and the final adaptation priority sectors were expanded to seven. A summary of observed and projected climate for Bhutan was developed based on existing analysis (TNC to the UNFCCC 2020, analysis by NCHM) and two socio-economic scenarios were projected. The climate risks assessments for the sectors under NAP build on risks and adaptation options identified in the TNC 2020. In addition, a fifth study on climate change vulnerability analysis and mapping across administrative regions in the country was conducted. These studies serve as technical references to the NAP document. Separate assessments for the remaining key sectors such as energy and human settlements were not carried out but are partially covered in the risk assessment for the water sector.

Outcome 4. NAP formulated and capacity for implementation and monitoring established.

The NAP document was found to be comprehensive and covered local and national priorities.

Testimonials on NAP from evaluation respondents:
'I feel privileged to be part of the NAP formulation process because the agriculture sector is still a key component of the Bhutanese economy and requires implementation of adaptation measures. The NAP document has captured priorities we should be focusing on in the next 5 to 15 years.'
'NAP provides a national framework to align with, including for CSOs. We have tried to align other projects funded by other donors to the NAP framework.'
'Bhutan now has a NAP document, which in itself is a big achievement. However, for now, it is difficult to say how much we have achieved in terms of integrating adaptation actions at the community level.'
'Greater engagement of field-based agencies and experts and selection of multiple stakeholders within single sectors would have added greater value.'
'Overall, the outcomes were achieved to a large extent despite disruptions from the COVID-19 pandemic. The NAP will make a big difference to prioritizing activities for resource mobilization for Bhutan.'
"The seven identified sectors in the NAP are highly relevant to local and national concerns in Bhutan and can be considered one of the most significant contributions of the Project.''

While the Project was a readiness project, expectations were raised especially in districts and communities that once the NAP was endorsed, there would be resources and support provided for mainstreaming and implementation of adaptation priorities for gewogs and dzongkhags.

Finding 42. A clear and significant result of the Project was the formulation of the NAP document that has been submitted to the UNFCCC. For the first time, the country has a comprehensive NAP document with a long term vision and a set of objectives; with impact risks, vulnerabilities and adaptation priorities identified; with needs and enabling activities recognized; and an implementation strategy with M&E at three identified

levels. The NAP formulation process was mentioned by respondents as being consultative both vertically (different levels of government) and horizontally (across stakeholders and sectors). The NAP was prepared by a NAP Drafting Committee (NAP DC) comprising representatives of the Thematic Working Groups that worked on the risks and vulnerability assessments.

Finding 43. Composing the NAP drafting committee of with members of the TWG was strategic and ensured logical connections between the different outcomes of the Project. Based on the results of the assessments in the four climate sensitive sectors, consultations were carried out to identify adaptation priorities and enabling activities. Stakeholders for the consultations were from within the four sectors as well as the private sector, human settlement sector, and representatives from CSOs. Upon consolidation of priorities and enabling activities, a Review Team of the draft NAP document recommended reorganization of the sectors into seven for better visibility of priorities and focus during implementation. The number of sectors expanded from four to seven with the addition of energy, human settlements & climate smart cities, and climate services and disaster risk reduction. The revised draft NAP document was shared with the Climate Change Coordination Committee (C4) and presented to the National Environment Commission which endorsed it.

Finding 44. A weak aspect of the NAP is the financial section and implementation strategy which could include more detailed project outlines with a funding strategy. The challenge for NAP projects is usually financing and the key to success for NAP implementation is how much funds are raised in addition to what the government should commit as well.

4.3.2 Relevance

The relevance of the project was assessed from three positions: i) the extent to which the results, logic, and mode of delivery of the Project were appropriate to the overall context and priorities in Bhutan; ii) the extent to which the Project was aligned with the organizational priorities of the target groups/participants; and iii) the extent to which the Project may have influenced national policies on climate change adaptation.

As mentioned in the introduction, Bhutan's increasing exposure to the impacts of climate change has become increasingly apparent, particularly due to the country's fragile mountainous environment and dependence on agriculture and hydropower.

Finding 45. The NAP Project was highly relevant to the development challenges in Bhutan, particularly in priority sectors[28] to address vulnerabilities and climate risks. The seven sectors are interlinked and have a direct bearing on the most important constituents of the country's economy (e.g. hydropower, agriculture/livestock/forestry which jointly contribute a quarter of the GDP)[29]. These sectors are significant for livelihoods (e.g. agriculture provides employment for 43.5% of the country's population of which 53.3% are women),[30] and are most affected by climate variability and natural hazards (e.g. climate risks on water resources affecting drinking, food, health, energy, settlements is one of the highest in Bhutan)[31]. The Project is aligned with and promotes national policies, notably the Climate Change Policy of the Kingdom of Bhutan 2020; the Forest and Nature Conservation Act of Bhutan 2023; the Water Act of Bhutan 2011; Bhutan Water Vision and Policy; the National Environment Act 2007 as well as related strategies and plans. Important complementary initiatives with priorities supported through the GCF and those taken by Thromdes on human settlement planning and mentioned during interviews.

There was consensus from different stakeholders (i.e. representatives from government agencies, district administration, CSOs, Colleges) on the clear link of the Project to their organizational priorities and to triggering initiatives within their organizations. For example, the Project was seen to have bolstered institutions' work on

[28] (i) Water (ii) Agriculture and Livestock (iii) Forests and Biodiversity (iv) Human Settlements & Climate Smart Cities (v) Health (vi) Energy (vii) Climate Services and Disaster Risk Reduction
[29] Labour Force Survey Report, 2022, National Statistical Bureau, Royal Government of Bhutan
[30] Labour Force Survey Report, 2022, NSB, Bhutan
[31] Assessment of Climate Risks on Water Resources for NAP for Bhutan, Priority risks and recommendations for adaptation, October 2023, Department of Water

studying climate vulnerability in protected areas and respondents drew clear connections to the review and ongoing development of urban structural plans.

4.3.3 Effectiveness

The effectiveness of the project was assessed based on: the extent to which results were achieved, the extent to which the project contributed to strengthening government, including institutional, capacities; effectiveness of project partnerships and contributions of partners to results; changes (positive or negative; intended or untended)

Finding 46. The NAP Project made positive contributions to raising awareness and enhancing capacities, including institutional capacities of partner national training institutes and colleges. Respondents corroborated that training contents were aligned with national priorities and strengthened organizational mandates. For example, the climate vulnerability assessment training was found to be effective in strengthening organizational mandates of studying climate vulnerability in protected areas. Two contributing factors in raising the effectiveness of the trainings were mentioned: the ToT method, and the combination of field-based experts for practical experiences and specialists from the university. Respondents from gewogs highlight the importance of water source protection, bio-engineering measures during farm road construction, boulder pitching for retention walls along rivers are practical measures they have started to use. However, some CCA measures needed lack the backing by relevant technical assistance, such as climate resilient crops.

Finding 47. Some respondents stated that training should have better responded to specialized and different capacity needs to be more effective. Better tailoring of training contents to the needs and experience of participants[32] was confirmed. More holistic topics in every sector were also felt to be needed, such as sustainable planning in urban areas demanding expertise in urban planning, environment engineering, landscaping, transport planners, etc. The inclusion of supervisory and support level staff of government agencies (e.g. GIS team, surveyors) was seen to be limited although they are the first points of contact for data collection and updating. Inclusion of surveyors, vital in data collection and updating, was mentioned as a gap. Greater use and integration of indigenous knowledge and ideas within modern approaches was recommended to enhance the effectiveness of trainings at the local level. Training of LGs was done extensively to introduce them to CC. However, there is still need to mainstream CC in LG plans and priorities.

Finding 48. Adaptive management resulted in more effective training. During the ToT, initial trainings with LG officials generated some lessons learned regarding what they preferred in the trainings. Changes were made to subsequent trainings, such as less on theory and more on local evidence of CC and what could be implemented at the field level.

Finding 49. Better consultation with some key stakeholders early on during project development is needed for better ownership. There was an assumption that the NCHM (whose input was largely through the TWG) would provide climate and hydrometeorological services for the NAP, but in fact there was a data gap and the capacity for climate projections was not fully developed. The evaluation found that better consultation would have resulted in understanding the need for weather stations to produce more localized data for scaled down projections. It is acknowledged that UNDP supported NCHM for early warning and aviation meteorology and provided funding for climate change projections. NCHM has a mandate for the provision of climate services for UNFCCC assessment cycles and they provided all the CC information for the Conference of Parties (COP) 28.

Finding 50. The structure of the Project was found to be highly effective in promoting networking and partnerships. The multi-stakeholders represented in the Board, the NAP PMU and TWG provided an avenue to network and learn from one another (face to face and through social media groups). The TWG members were part of the NAP Drafting Committee which provided a clear and logical link between the vulnerability assessments and the NAP document and can be considered a factor that underpinned the success in the development of the NAP. Existing partnerships through interns from different colleges provides an opportunity to continue to raise

[32] Evaluation of CC trainings conducted under the NAP readiness Project, November 2023

awareness and skills on NAP. Collaboration with ESCAP (Economic and Social Commission for Asia and the Pacific) is considered to be stronger due to NAP.

Finding 51. Despite documented successes in engagement and collaboration with partners, the evaluation found that partnership challenges still exist. Data coordination and information about adaptation as well as adaptation implementation remain in the early stages and require continued support. The Climate Change Coordination Committee (C4) was established with the intent to integrate climate change into the different sectors. It was active at one time, but due to COVID and the civil service transformation, it is no longer active. What the C4 was supposed to do is now done by DECC who can oversee the cluster of sectors.

4.3.4 Efficiency

The final outcome, which was the drafting of the NAP document, was accomplished despite potentially severe setbacks such as travel restrictions due to COVID. These delays were overcome with good adaptive management and the overall implementation of the project was efficient.

There was budget included for international travel which proved to be beneficial to the stakeholders as it provided forums for learning exchanges. The financial analysis of the NAP project is presented in Section 4.2.3.

Finding 52. There were some perceived shortcomings in how efficient project reporting requirements were. GCF biannual M&E reporting requirements were complex, time consuming and changed frequently, with a format change four times and a high requirement for details which took a lot of time and resources. The M&E reporting tended to be activity focused and not outcome focused.

4.3.5 Sustainability

Sustainability was assessed based on three aspects: likelihood of continuation of project interventions, including mechanisms set in place to sustain improvements made so far; evidence of sustainability strategies; evidence of bankable projects developed for resource mobilization; and evidence of partners ownership and commitment to continue

Table 11. Sustainability ratings

Sustainability	Rating
Financial Resources	Moderately Likely
Socio-political	Likely
Institutional framework and governance	Likely
Environmental	Likely
Overall likelihood of sustainability	Likely

The NAP document provides the framework for long term adaptation coordination and planning. In the process of developing the NAP, there was national ownership co-led with UNDP. The process of developing the document and the structure of project implementation and decision-making were conducive for awareness raising and mobilizing the commitment of agencies across sectors. An enabling factor for sustainability is political will. Recent evidence of political will is the development of 'Bhutan's Long-Term Low Greenhouse Gas Emission and Climate Resilient Development Strategy (LTS)[33] by the DECC. This document specifically refers to utilizing

[33] LTS Vision is 'To make Bhutan a dynamic, prosperous, resilient, inclusive, and sustainable economy by 2050 while continuing to be carbon neutral, where the aspirations for gross national happiness of the present and future generations are secured under a changing climate with a strong emphasis on low carbon and climate resilient approaches to development.'

NAP readiness assessments, particularly the assessment of climate risks on Health and the Climate Change Vulnerability Analyses and Mapping formulation process.

To ensure sustainability, it is important that the Long- Term Strategy (LTS) and NAP are integrated into Bhutan's upcoming 13th Five-Year Plan. This would institutionalize climate change allocations, whether from the country's own funds or from donor funds.

Finding 53. The capacity for local governments to integrate CC into development planning is still a challenge. In addition to national policies and plans, sustainability measures at the local government level are crucial. The increased awareness among local administration and technical staff through various trainings enhances the likelihood of integrating adaptation activities into local government annual and five-year plans. However, capacities to do so and resources to implement are challenges. Earlier support from UNCDF[34] (supporting adaptative capacities and resilience building through a system of performance-based climate resilience grants to local governments), ongoing EU-funded support (part of which focuses on institutionalizing responsibility and knowledge for mainstreaming gender, environment, climate, disaster, and poverty (GECDP) in local government),[35] etc. could provide important lessons on integration of climate actions and other topics into local government systems and community priorities and are avenues for collaboration with other development partners. Respondents to the evaluation highlighted the importance of local government in sustainability. Implementation at the community level depends to a large extent on local governments who, in turn, depend on the availability of technical and financial resources.

Respondents stated that sustainability depends to a large degree on the country's ability to mobilize resources for implementation. In this respect, there are already projects being implemented that have utilized assessments and recommendations from NAP. Notably, this includes the Project ACREWAS (Advancing Climate Resilience of the Water Sector in Bhutan) which is aligned with NAP particularly in the water sector. It seeks to address water shortages and declining water quality in the country and is expected to benefit more than 37,000 people in some of the most climate vulnerable districts of the country. Resources have also been mobilized for technologically enabled agriculture which utilizes NAP assessments. The health and urban development sectors have also utilized NAP findings, including the UNDP-GEF Urban Resilience project.

Finding 54. There is evidence of alignment with and replication of NAP concepts at local levels. Although not large scale and not yet mainstreamed, these localized practices are important to enhance the probability of sustainability. Examples mentioned were: i) the development of new/updated urban structural plans taking place with greater awareness of the importance of green infrastructure and inclusivity in urban structural plans; ii) initiative taken at a research institute to study community-based climate vulnerability and provide training for foresters in the field; iii) proposals by local government for waste segregation and better waste management and use of natural materials (e.g. boulder pitching) for river bank protection walls in the 13th FYP. The NAP process and document also provided impetus to the development of a new planetary health curriculum under KGUMSB which is expected to be launched in 2024.

Finding 55. Investments in capacity building are regarded as a vital part of enhancing sustainability. The integration of three modules at RIM where future project managers, chiefs and policy makers are trained was reported as a strategic move in institutionalizing learning. The frequent turnover of personnel is seen as a barrier to sustaining initiatives under NAP, while others believe that the Project's strategy of involving cross-sectoral participants would ensure continuity in knowledge and skills gained.

Finding 56. There were several good practices adopted to enhance sustainability:

[34] Local Climate Adaptative Living Facility (LoCAL)
[35] Local Government Sustainable Development Programme (LGSDP), outcome 2

- Comprehensive stakeholder mapping and their inclusion through the development of a Stakeholder Engagement Plan
- Developing national ownership through mobilizing and deepening alliances and networks during the NAP formulation process
- Project decision-making and implementation structures conducive for building ownership and contributing towards mobilizing a system of experts, decision makers and implementers
- Some evidence of efforts at alignment/replication at local levels
- Building expertise within the country (e.g. among colleges under the Royal University of Bhutan) and integration into curriculum of training institutions (e.g. modules at RIM)
- Knowledge management and retaining networking through a digital forum (CC platform)
- Identifying stakeholders for M&E in the NAP document, beyond implementation
- Linking to existing and new innovative climate funding mechanisms such as the BCF

While there have been successes in mobilizing funds using the NAP document and its assessments as a basis, a challenge unanimously echoed by respondents was the need for continued resource mobilization to keep up the momentum created by the NAP formulation process.

Finding 57. It was not clear during the evaluation whether the 13th FYP will see increased allocation for climate change. It also is unclear if any private investor support has been mobilized to date. It also could not be ascertained during the evaluation whether the aim to integrate adaptation criteria within the government performance management was achieved, which would institutionalize reporting on adaptation-relevant investments and expenditure and align NAP with the national development planning and investment process.

Finding 58. Project sustainability can potentially be compromised in a Direct Implementation Modality (DIM) project. This is because a DIM project does not effectively institutionalize the knowledge and experience gained by the Project Management Unit who, in the case of a DIM project, does not remain on the job practicing what was achieved. In the case of a National Implementation Modality (NIM), usually a government employee who has acted as the PMU, remains and the knowledge is better institutionalized. The evaluation acknowledges, however, that CC capacity gained will remain with the TWG members as well as the academic partners and the CSOs who were involved in the NAP process.

4.3.6 Impact

The impact of the project looked at: change (positive/negative, intended/unintended) that may have come about because of the Project; differences made to beneficiaries; changes to policy frameworks; barriers and risks (if any) that may prevent further progress towards long term impact.

The NAP document is expected to catalyse resource mobilization and collective action. Therefore, the long-term impact of the Project on climate resilience may be realized once the implementation plan of NAP is fully mainstreamed. This was also reiterated by some of the respondents. Therefore, barriers or risks to progress towards long term impact lie in the implementation of the NAP and include:

- the ability to continue mobilizing resources for implementation.
- continuity in capacity building for implementation; and
- ability to integrate NAP principles and adaptation actions into national and local plans and budget.

To date, UNDP in partnership with the government has successfully initiated NAP implementation through various Projects in critical sectors (see Finding 53 for examples). To ensure long term impact, such initiatives need to go beyond project-based funding towards integration and mainstreaming. Steps in this direction are being made, an important one being the inclusion of climate vulnerability as a criterion in the RAF under the draft 13th Five Year plan.

Finding 59. The NAP document is considered an asset capable of convening a multitude of stakeholders around climate adaptation in the medium to long term. The Project contributed considerably to raising awareness and enhancing capacities on adaptation issues and options among policy makers, local government

officials, trainers, implementors and communities. The Project has enhanced collaboration to some extent across government departments, CSOs, and training institutions. Although not directly attributable and not documented as a product of the NAP project, it is worth noting that localised initiatives to align programs to NAP are emerging.

Considering the spectrum of engagement of stakeholders, the comprehensiveness of the Project (coordination, capacity building, vulnerability assessment leading to the development of NAP), and the generally positive feedback from respondents during the evaluation, it is reasonable to consider that the impact of the NAP will contribute directly towards Bhutan's communities, especially vulnerable communities, and the country's economy to become more resilient to climate-change impacts and other disasters.

4.3.7 Gender equality

Finding 60. Some gender considerations have been included in the NAP however there are no gender specific indicators. For example, there is integration of gender considerations in the adaptation priorities and needs, along with budget estimates, differentiated by sectors. The NAP calls for gender and adaptation as research topics to inform adaptation planning in additional sectors. The M&E of the NAP to ensure implementation of adaptation priorities and enabling activities in line with the implementation strategy requires the collection of gender disaggregated data and assessment of gaps and barriers in inclusivity of vulnerable groups, the private sector, civil society, and gender considerations during adaptation implementation. In addition, the stakeholder engagement plan identifies gender as an integral part of adaptation planning and spec While the NAP includes the need for an assessment of gaps and barriers in NAP implementation, inclusivity of vulnerable groups, the private sector, civil society, and gender considerations, there are no indicators specific to gender included as Key Performance Indicators.

Finding 61. Partners of the project confirmed that while gender was not initially emphasized, it received its due attention during trainings, consultations and meetings and was included in the NAP document. Some partners reported encouraging women to take on leadership roles especially in farmers' groups. The perception among respondents is that awareness of the need for the inclusion of gender differentiated needs is significantly higher now than a decade ago in the country; however, it was equally felt that more needs to be done to address basic issues such as the perception that gender is a 'women's problem.'

Elements in the NAP that promote gender equality and inclusiveness
Gender integration in adaptation priorities and needs: Example of strategic action in Agriculture and Livestock: promote climate smart livestock farming practices through gender and PWD friendly farm level technologies; ensure women/vulnerable group access to gender friendly technologies at farm level; promote energy efficient and gender friendly farm machineries. • Adopt innovative, gender responsive technologies for smart climate resilient farming (Budget: 1,500,000) Example of strategic action in Forests and Biodiversity: develop gender responsive natural resources access framework; develop gender responsive capacity development plan • Develop gender responsive natural resources access framework (Budget: 20,000) Example under Policy and Institutional: develop TOR and mandates for climate change units in line with CC policy and NEPA 2007 and LG Act, and of Gender, Environment, Climate, Disaster, Poverty (GECDP) • Develop ToR and mandates for climate change units in line with CC policy and NEPA 2007 and LG Act, and of Gender, Environment, Climate, Disaster, Poverty (GECDP) (budget: 50,000) Under Research and Data: assess opportunities for cross cutting issues and gender integration. Under M&E of NAP: Assessment of gaps and barriers in NAP implementation, inclusivity of vulnerable groups, the private sector, civil society, and gender consideration; Collection of gender disaggregated data shall be followed as applicable.

4.3.8 Human Rights and Social Inclusion

Finding 62. There was no explicit use of the human rights-based approach, however there was consideration of the need to protect the rights of the most vulnerable. The entire Project built the capacity of government agencies including local government, as duty bearers, with obligations to protect the rights of those most vulnerable to climate change, starting with those identified by the climate risks and vulnerability assessments undertaken in the Project. To enhance inclusion and accessibility of the NAP, there is a recognized need to simplify 'the language of climate change and climate actions' to increase understanding in local communities, use local languages where possible, and to consult and be more aware of the needs of specific groups (e.g. PWDs). There is also the need to bridge the gap of very limited data on vulnerable groups and their adaptation needs. During the NAP process, a document titled "Assessment of role of Traditional Indigenous Knowledge in Climate Change Adaptation" was developed which provided the guidelines for the incorporation of traditional and local knowledge into adaptation priorities and needs.

Finding 63. While there is a gender component in the NAP, there is no similar section specifically addressing people with disabilities. PWD is mentioned in the agricultural adaptation options on page 79 of the NAP. Also, on page 116 of the NAP, it states: "Vulnerable Groups and Communities" are directly addressed and there is a reliance on partner CSO's to be the voice of PWD, and those with diverse gender identity, expression and orientation as well as senior citizens, the latter which were said to be able to offer support for adaptation. The evaluation finds that there should have been more focus on the impact of climate change on those most vulnerable - PWD, women, children and other vulnerable populations. In addition, the role of these groups as equal partners in climate actions needs to be acknowledged in NAP implementation and future NAPs.

4.3.9 Impact of COVID

The biggest challenge experienced in the Project reporting period (3rd Progress report, Jul-Dec 2020) was the COVID -19 pandemic. Bhutan went into complete lockdown from 10th August to 30th August 2020. The restriction of movement including international travel delayed the implementation of activities, particularly the physical consultation that is required for the NAP process. While virtual consultations were facilitated as much as possible, they were not as effective as face-to-face consultations/meetings as the level and number of interactive sessions were limited. A second lockdown started on 20th Dec 2020 to 1 Feb 2021. GCF granted a 6 month no-cost extension from Jan 2023 to July 2023. While this affected the timeline for the project, the contingency budget and the PM budget did not change. The request for one year no-cost extension (from July 2023 to July 2024), which was later amended to ten months, until May 2024, was intended to: allow the development of 1-2 bankable project proposals (Activity 3.2.4), develop the project proposal on Urban resilience, develop a climate change-health project proposal, develop a M&E framework for assessing "climate resilience" to inform and assist integration of Climate change adaptation into development planning (Five Year Plans), develop Adaptation criteria and training on its application, adaptation costing framework and training on its application, developing a mechanism and guideline for synergizing approaches for adaptation planning across different cross cutting issues, and to conduct the terminal evaluation.

5. Main Findings, Conclusions, Recommendations & Lessons Learned

5.1 Main Findings

1. The NAP Readiness Project has been impactful in its aim of supporting Bhutan to identify and develop a medium to long term climate adaptation priorities, which are documented in the NAP. The NAP document is expected to catalyse resource mobilization and collective action. The longer-term impact of the Project on Bhutan's communities and its economy will become apparent the NAP is implemented and monitored for effectiveness.

2. Raising awareness, building technical capacities, and enhancing coordination, networking and knowledge management have all occurred to some extent, with the need to expand and increase trainings and the need to ensure there is a mechanism for maintaining inter-sectoral communication and coordination.
3. The importance of including local government and local community members, including vulnerable groups cannot be over-emphasized. The local level is where climate change impacts are felt most severely and those impacted can contribute to knowledge of vulnerability and risk.
4. Partnerships were important to the NAP, as shown by the effectiveness of the multi-stakeholder TWG and Project Board. Such partnerships need to be strengthened and broadened to include additional departments, the private sector including the technology sector and civil society.

5.2 Conclusions

Considering the spectrum of engagement of stakeholders, the comprehensiveness of the NAP project outcomes including coordination, capacity building, vulnerability assessments leading to the development of NAP and the generally positive feedback from respondents during the evaluation, it is reasonable to conclude that the project has the potential to contribute directly towards increasing resilience to climate change. The project results in terms of activities conducted and outcomes achieved focused on advancing medium to long term planning in climate sensitive sectors as outlined in Country Programme Outcome #2: *By 2023, Bhutan's vulnerable communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss* and UNDP Strategic Plan output #2.3.1 *Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis.*

Going forward, the NAP will provide a valuable roadmap for Bhutan's economy and communities including those most vulnerable, to increase adaptive capacity and become more resilient to climate-change impacts and other disasters. While the NAP project had some shortcomings and challenges, such as COVID related restrictions which affected training outcomes, finances and the workplan, the four outcomes were achieved and the first NAP for Bhutan was produced.

5.3 Recommendations

Table 12. Recommendations Table

Rec #	TE Recommendation	Entity Responsible	Time Frame
Category: Relevance			
1	**The relevance of the Project for target communities and vulnerable groups** (e.g. women, minorities, elderly, PWD, youth) **could be strengthened** by increasing the involvement of local government representatives, who are able to influence and mobilize local communities	Local Government	NAP Implementation
Category: Effectiveness			
2	**Sectors should integrate CCA by using the NAP to define their programmes**. The draft planning guidelines for the 13th FYP that have been circulated to agencies to develop their national programmes do not mention the integration of climate change and the NAP could provide the guidance needed.	NEC	For the 13th FYP
3	**Increased Capacity Building for understanding vulnerabilities to climate change and for implementing climate change adaptation is needed.** Capacity gaps emerged as a priority in the evaluation. To increase the effectiveness of capacity building: vii. Differentiated training programs should be in place to cater for different levels of experience in climate change. viii. Training effectiveness is increased by in person training methods, especially at the local government and community levels. ix. A cascade model of training was effective, leveraging the expertise of CSOs with experience in working with local communities and with local government.	NEC, TWG	NAP Implementation

	x. Additional or refresher trainings are needed, considering the unfamiliarity of the topic in certain cases, new and emerging CCA topics, staff attrition in partner organizations including in the TWG, and the limited technical expertise available in the country, especially at local levels. xi. The reach of training to communities at the Gewog and Throm level in various sectors needs to be considered. xii. Peer learning among communities and local government based on existing examples could be an additional approach to capacity building and enhancing mainstreaming.		
4	**More consultations and engagement of field-based practitioners and experts would benefit from their crucial role in integrating climate resilience initiatives at the community and local government level.** This could be done with the overall guidance of thematic experts in central agencies and within the framework of NAP.		
5	**Greater Participation by LG and Private Sector is needed** to enhance overall effectiveness. Training of LGs in RIM did not materialize, however, a similar format where LGs are introduced to climate change in an institutionalized setting may increase the likelihood of mainstreaming CCA in LG plans and priorities. Exploring the inclusion of agencies such as the BCCI is also recommended.	NEC, TWG	NAP Implementation
6	**Partnerships should be expanded:** i) The Department of Tourism should be involved in the next NAP, due to its importance to the national economy and the level it is impacted by climate change ii) The next NAP Project Board needs to include the technology sector to foster innovation and research in science and technology for CCA activities. Agencies such as DHI Inno Tech could be considered. iii) The private sector can enhance aspects of CCA through ddeveloping clean infrastructure, reducing energy and water use, improving the climate resilience of cities and communities, and supporting natural capital and ecosystems	NEC, TWG	Second NAP
Category: Efficiency			
7	**More resources should be allocated for community consultations** and their contributions to CRA and CVA.	Donor	NAP Implementation and Second NAP
8	**Financial resources for mainstreaming and implementation of climate change adaptation are a crucial next step for NAP.** Resource mobilization by individual participating agencies for their respective activities is essential. Investing in financial preparedness should be considered for future readiness or updates to the NAP. Financial mechanisms to encourage participation by entrepreneurs, community members and the private sector in general is important. Links to innovative national mechanisms is pertinent, such as to the Bhutan Climate Fund (BCF).	Sectoral Agencies, government partners and CSOs	During NAP Investment Roadmap
Category: Sustainability			
9	**Integrating adaptation into new and existing national and sectoral policies and programmes is key to sustainability**. Entry points at the national level are existing policies and the upcoming 13th FYP while entry points at the local level are community-based groups (e.g. Community Forest Management Groups). An important entry point at the dzongkhag and gewog level is the Grant Guidelines[36] developed by the MoF.		
Category: Impact			
10	Those working on the next NAP should be aware of the necessity to take a "systems" approach – which means that the sectors should work together and integrate sector-specific climate change vulnerabilities and adaptation priorities.	TWG	Second NAP

[36] Annual Grant Guidelines, 2022, Ministry of Finance, Royal Government of Bhutan

Category 6: Gender Equality			
11	**All CC projects that arise from the NAP should have a gender assessment** conducted with a requirement for gender specific indicators, a budget and a monitoring plan that includes the collection of gender-disaggregated data.	TWG, NEC	NAP Implementation
Category 7: Human Rights and Social Inclusion			
12	**More consultation with vulnerable groups** such as PWDs, minorities, elders, women and youth is needed to ensure they have input into CCA decisions. Consultation will assist in bridging the gap of very limited data on the specific needs of vulnerable groups related to climate change impacts and adaptation responses.	TWG, NEC	NAP Implementation and Second NAP

5.4 Lessons Learned

There are several key lessons learned:

The power of adaptive management. The project was responsive to feedback and able to make the necessary changes to both the budget and the work plan when confronted with challenges such as travel restrictions due to COVID 19. This enabled the project to achieve its ultimate goal of producing Bhutan's First National Adaptation Plan.

It was discovered that the use of national experts was as effective as international experts. Originally, more international experts were included in the project design, however, due to challenges from travel restrictions, the search for qualified national experts resulted in a strong network of local experts who now have the expertise and knowledge to assist with future NAP iterations, at significantly lower cost.

Another lesson learned was the importance of the extensive engagement and highly inclusive participatory approach for NAP formulation, ensuring the ownership and adoption by the government, meaning that it was country driven and country owned.

Finally, UNDP's proactive support for NAP implementation through resource mobilization in the areas of water, agricultural systems, and urban resilience contributed to the success of the project and paves the way for NAP implementation.

6. Annexes

Annex 6.1. Final Evaluation Terms of Reference

Final Evaluation of the Project *Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector*

GENERAL INFORMATION
Services/Work Description: Final evaluation of the Project "Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector"

Project Title: Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector

Type of the Contract: Individual Contract- International
Scope of Advertisement: International
Duration: 25 working days (Home based)

Expected Start Date: 13 November 2023

1. Background
The project document for the UNDP-supported GCF-financed project "Preparation of a National Adaptation Plan (NAP) for Bhutan, with focus on the water sector" was signed on 20th June 2019 by the United Nations Development Programme (UNDP) and the Royal Government of Bhutan. The Project is in its last year of implementation.

The project is being implemented by UNDP in partnership with the Department of Environment and Climate Change, Ministry of Energy and Natural Resources. The project supports the Royal Government of Bhutan (RGoB) to advance its NAP process by building on existing capacities and enhancing institutions in place for adaptation planning through the following outcomes:

Enhanced coordination, learning and knowledge management for an iterative NAP process.
Technical capacity enhanced for the generation of climate scenarios and impact assessment.
Vulnerability assessments undertaken and adaptation options appraised and prioritized.
NAP formulated and capacity for implementation and monitoring established.

The Project builds on the strong synergies and existing UNDP and RGoB coordination with ongoing and past adaptation and readiness work in Bhutan.
2. Evaluation Purpose
UNDP commissions programme evaluations to capture and demonstrate evaluative evidence of its contributions to development results at the country level as articulated in UNDP's Country Programme Document (CPD). These are evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy. In line with the Evaluation Plan of UNDP Bhutan, project evaluation of the Project "*Preparation of a National Adaptation Plan (NAP) for Bhutan, with a focus on the water sector*" is planned to be started from 15 November 2023 and completed by 11th February 2024.

The UNDP Office in Bhutan is commissioning this independent final evaluation on the NAP Readiness Project (2019-2024) to capture evaluative evidence of its relevance, effectiveness, efficiency, sustainability, and incorporation of gender and other cross-cutting issues to assess the achievement of project results against what was expected to be achieved. The evaluation will ascertain how Bhutan

has benefited from the project interventions and what lessons could be learned that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. Additionally, the evaluation will also assist in enhancing the subsequent iterations of the NAPs. The evaluation serves an important accountability function, providing national stakeholders and partners in Bhutan with an impartial assessment of the results of NAP's intervention.

3. Evaluation Scope

The evaluation will assess project performance against expectations set out in the project results framework. The final evaluation will assess results according to the criteria outlined in the UNDP Evaluation Guidelines[37].

The evaluation will consider the pertinent outcomes and outputs as stated in the project document focused towards advancing medium to long term planning in climate sensitive sectors in relations to Country Programme Outcome #2: By 2023, Bhutan's vulnerable communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss and UNDP Strategic Plan output #2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis.

As described in the background, the NAP Readiness Project has implemented four outcomes. An analysis of achievements across all four outcomes is expected:

OUTCOME 1	Enhanced coordination, learning and knowledge management for an iterative NAP process.
OUTCOME 2	Technical capacity enhanced for the generation of climate scenarios and impact assessment
OUTCOME 3	Vulnerability assessments undertaken and adaptation options prioritized.
OUTCOME 4	NAP formulated, and capacity for implementation and monitoring established.

4. Evaluation Questions

The evaluation seeks to answer the following questions, focused on the evaluation criteria of relevance, effectiveness, efficiency, and sustainability:

Relevance:

How well has the Project aligned with government and agency priorities?

To what extent has NAP's selected method of delivery been appropriate to the development context?

Has NAP Project been influential in influencing national policies on climate change adaptation?

To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives?

To what extent was the project in line with the UNDP Strategic Plan, Country Progamme Document (CPD), United Nations Sustainable Development Cooperation Framework (UNSDCF), Sustainable Development Goals (SDGs), and Green Climate Fund (GCF) strategic programming?

Effectiveness

What evidence is there that the Project has contributed towards an improvement in national government capacity, including institutional strengthening?

[37] UNDP Evaluation Guidelines: http://web.undp.org/evaluation/guidance.shtml#handbook

Has the NAP Project been effective in helping improve climate change adaptation planning in Bhutan?
To what extent have outcomes been achieved or has progress been made towards their achievement.
What has been the contribution of partners and other organizations to the outcome, and how effective have the Project partnerships been in contributing to achieving the outcome?
What were the positive or negative, intended, or unintended, changes brought about by NAP's work?
What contributing factors and impediments enhance or impede NAP performance?
To what extent did the project contribute to gender equality, the empowerment of women, and/or a human-rights based approach?

Efficiency
Are NAP's approaches, resources, models, conceptual framework relevant to achieve the planned outcomes?
To what extent were quality outputs delivered on time?
Has there been an economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.)?
Did the monitoring and evaluation systems that NAP has in place help to ensure that activities and outputs were managed efficiently and effectively?
Were alternative approaches considered in designing the Project?

Sustainability
What is the likelihood that the NAP Project interventions are sustainable?
What mechanisms have been set in place by NAP to support the government of Bhutan to sustain improvements made through these interventions?
To what extent has a sustainability strategy, including capacity development of key national stakeholders, been developed, or implemented?
To what extent have partners committed to providing continuing support?
What indications are there that the outcomes will be sustained, e.g., through requisite capacities (systems, structures, staff, etc.)?
What opportunities for financial sustainability exist?
How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?

Impact
What has happened as a result of the project?
What real difference has the activity made to the beneficiaries?
How many people (w/m) have been affected?
Were there contributions to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust building and conflict resolution processes, information-sharing systems, etc.)?
Were there contributions to changes in socio-economic status (income, health, well-being, etc.)?
Discuss any unintended impacts of the project (both positive and negative) and assess their overall scope and implications.
Identify barriers and risks that may prevent further progress towards long term impact.
Assess any real change in gender equality, for example, access to and control of resources, decision-making power, division of labor, etc.

The evaluation must also include an assessment of the extent to which project design, implementation and monitoring have taken the following cross cutting issues into consideration:

Human rights

To what extent have poor, indigenous and tribal peoples, women, and other disadvantaged and marginalized groups benefitted from NAP's interventions?

Gender Equality
To what extent has gender been addressed in the design, implementation and monitoring of the NAP Project?
To what extent has NAP Project promoted positive changes in gender equality? Were there any unintended effects?
How did the Project promote gender equality, human rights, and human development in the delivery of outputs?

The evaluation team will include a summary of the main findings of the evaluation report. Findings should be presented as statements of fact that are based on analysis of the data.
A section on conclusions will be written considering the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the evaluation findings. They should highlight the strengths, weaknesses, and results of the project, respond to key evaluation questions, and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GCF, including issues in relation to gender equality and women's empowerment.

Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
The evaluation report should also include lessons that can be taken from the evaluation, including best and worst practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GCF and UNDP interventions. When possible, the evaluation team should include examples of good practices that could be used in future project design and implementation.

It is important for the conclusions, recommendations and lessons learned to include results related to gender equality and empowerment of women.

5. Methodology
The evaluation report must provide evidence-based information that is credible, reliable, and useful. The evaluation will be carried out by an external team of independent evaluators and will follow a participatory and consultative approach ensuring close engagement with a wide array of stakeholders and beneficiaries, including national and local government officials and staff, donors, beneficiaries from the interventions, and community members.

Evidence obtained and used to assess the results of NAP's interventions must be triangulated from a variety of sources, including verifiable data on indicator achievement, existing reports, evaluations and technical papers, stakeholder interviews, focus groups, surveys, and site visits. In the event where field mission is not possible due to the election-related restrictions on consultations, then remote interviews may be conducted through telephone or online (teams, zoom etc.). These formalities will be agreed upon during contract discussions and finalized in the inception meeting. The specific design and methodology for the evaluation should emerge from consultations between the evaluation team and the above-mentioned parties regarding what is appropriate and feasible for meeting the evaluation purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The evaluation team must use gender-responsive methodologies and tools and ensure that gender equality

and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the evaluation report.

The final methodological approach including interview schedule, site visits and data to be used in the evaluation must be clearly outlined in the evaluation Inception Report and be fully discussed and agreed between UNDP, stakeholders, and the evaluation team.
The final report must describe the full evaluation approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

The following steps in data collection are anticipated:

5.1 Desk Review
A desk review should be carried out of the key strategies and documents underpinning the project's scope of work. This includes reviewing the project document, different reports, country programme document, as well as any monitoring and other documents, to be provided by the project and Commissioning Unit.

5.2 Field Data Collection
Following the desk review, the national evaluator (Consultant) will build on the documented evidence through an agreed set of field and interview methodologies, including:
Interviews with key partners and stakeholders
Field visits to project sites and partner institutions
Survey questionnaires where appropriate
Participatory observation, focus groups, and rapid appraisal techniques.

6. Deliverables
The following reports and deliverables are required for the evaluation:
Final Evaluation Inception report
Draft Evaluation Report
Presentation at the validation workshop with key stakeholders, (partners and beneficiaries)
Final Evaluation report

One week after contract signing, the evaluation team will produce an inception report clarifying the objectives, methodology and timing of the evaluation. The inception report must include an evaluation matrix presenting the evaluation questions, data sources, data collection, analysis tools and methods to be used. Annex 3 provides a simple matrix template. The inception report should detail the specific timing for evaluation activities and deliverables and propose specific site visits and stakeholders to be interviewed. Protocols for different stakeholders should be developed. The inception report will be discussed and agreed with the UNDP Country Office before the national evaluator proceeds with site visits.

The draft evaluation report will be shared by the evaluation team to the UNDP Country Office, who will circulate the draft to stakeholders. The evaluation team will present the draft report in a validation workshop that the UNDP country office will organize. Feedback received from these sessions should be considered when preparing the final report. The evaluators will produce an 'audit trail' (Annex Z) indicating whether and how each comment received was addressed in revisions to the final evaluation report.

The suggested table of contents of the evaluation report is found in the ANNEX.

7. Evaluation Team Composition and Required Competencies

The evaluation will be undertaken by a two-member team (Team Lead-international consultant and an Associate Evaluator -national consultant). The Team Lead (international consultant) will oversee the entire evaluation process, ensure its successful execution and be responsible for the final product. As the Team Lead, s/he will manage the national consultant. In addition to his/her direct reporting line to the international consultant will rely on National Consultant, the project staff, partners, and stakeholders to prepare the ground for effective and efficient implementation of the evaluation. The evaluators cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document) and should not have a conflict of interest with the project's related activities.

Required Competencies and Qualifications of the Team Lead (International Consultant)

Minimum master's degree in natural resource management/ environmental management/ business/ public administration, natural and climate science, and other related disciplines.
Minimum seven years of relevant professional experience.
Knowledge of UNDP and GCF monitoring and evaluation policies and guidelines.
Experience of conducting minimum of three terminal evaluation/final evaluation of projects with at least one GCF readiness project final evaluation.
Strong working knowledge of the UN and more specifically the work of UNDP in support of government.
Sound knowledge of results-based management systems and monitoring and evaluation methodologies; including experience in applying SMART (S-Specific; M-Measurable; A-Achievable; R-Relevant; T-Time bound) indicators.
Demonstrated understanding of issues related to gender and climate change adaptation.
Excellent reporting and communication skills.

The Team Lead will have overall responsibility for the quality and timely submission of the draft and final evaluation report. Specifically, the Team Lead will perform the following tasks:

Lead and manage the evaluation mission.
Develop the inception report, detailing the evaluation scope, methodology and approach.
Conduct the project evaluation in accordance with the proposed objective and scope of the evaluation and UNDP evaluation guidelines.
Manage the team during the evaluation mission and liaise with UNDP on travel and interview schedules.
Draft and present the draft and final evaluation reports.
Lead the presentation of draft findings in the stakeholder workshop.
Finalize the evaluation report and submit it to UNDP.

The selection of the best offer will be based on Combined Scoring method – where the technical evaluation with the maximum score of 70% will be combined with the maximum financial evaluation score of 30% as detailed under:

Criteria	Maximum point	Weight
Technical assessment:		70
Academic qualification/background (maximum 10 points) Minimum master's degree in natural resource management/ environmental management/ business/ public administration, natural and climate science, and other related disciplines = 10 points	10	
Relevant work experience and competency with results-based management evaluation methodologies and evaluating projects (Maximum 20 points) Points allocation:	20	

Experience of conducting minimum of three terminal evaluation/final evaluation of projects with at least one GCF readiness project final evaluation = 5 points Experience in relevant technical areas for at least seven years = 10 points Demonstrated understanding of issues related to gender, climate change adaptation, NAP process, gender responsive evaluation and analysis = 5 points		
Prior experience of working in Bhutan or similar countries or region Points allocation: Yes = 10 points No = 0 point	10	
Quality of the technical proposal & methodology (Maximum 30 points) Points allocation: The proposed methodology is clear and demonstrates proper understanding of Final Evaluation methods/criteria = 10 points Excellent quality of technical proposal and workplan = 10 points Fully addresses all aspects of TOR and demonstrates no weaknesses = 5 points The proposed timeline is in line with the TOR timelines and supported by clear evidence to demonstrate feasibility = 5 points	30	
Sub-total (A) - Technical	70	
Financial	30	30
Sub-total (B) - Financial	30	
Total (A+B)	100	

8. Evaluation Ethics

The evaluation must be carried out in accordance with the principles outlined in the United Nations Evaluation Guidelines (UNEG) 'Ethical Guidelines for Evaluation' and sign the Ethical Code of Conduct for UNDP Evaluations. Evaluators must be free and clear of perceived conflicts of interest. To this end, interested consultants will not be considered if they were directly and substantively involved, as an employee or consultant, in the formulation of UNDP strategies and programming relating to the outcomes and programmes under review. The code of conduct and an agreement form to be signed by each consultant are included in Annex 4.

9. Implementation Arrangements

The UNDP CO will select the evaluation team through standard UNDP procurement processes and will be responsible for the management of the evaluators. The Deputy Resident Representative will designate the Project Manager, NAP Readiness Project for the evaluation that will work with the Results Based Management and Programme Management Specialist to assist in facilitating the process (e.g., providing relevant documentation, arranging visits/interviews with key informants, etc.). The CO Management will take responsibility for the approval of the final evaluation report. The Project Manager will arrange introductory meetings within the CO and will establish initial contacts with project partners. The consultants will take responsibility for setting up meetings and conducting the evaluation, subject to advanced approval of the methodology submitted in the inception report. The CO will develop a management response to the evaluation within two weeks of report finalization.

The Project Manager of the Project will convene an Evaluation Reference Group (ERG) comprising of technical experts from within CO to enhance the quality of the evaluation. This group will review the inception report and the draft evaluation report to provide detailed comments related to the quality of methodology, evidence collected, analysis and reporting. The Group will also advise on the conformity

of evaluation processes to the UNEG standards. The evaluation team is required to address all comments of the ERG completely and comprehensively. The Evaluation Team Leader will provide a detailed rationale to the ERG for any comment that remains unaddressed.

The evaluation will use a system of ratings standardizing assessments proposed by the evaluators in the inception report. The evaluation acknowledges that rating cannot be a standalone assessment, and it will not be feasible to entirely quantify judgements. Performance rating will be carried out for the four evaluation criteria: relevance, effectiveness, efficiency, and sustainability.

While the Country Office will provide some logistical support during the evaluation, for instance assisting in setting interviews with senior government officials, it will be the responsibility of the evaluators to arrange their travel logistically and financially to and from relevant project sites and to arrange most interviews. Planned travels and associated costs will be included in the Inception Report and agreed with the Country Office.

10. Duration for the Evaluation Process

The evaluation is expected to take 25 working days for Team lead over a period of nine weeks starting from 13 November 2023. The final draft evaluation report is due the 1st January 2024[38]. The following table provides an indicative breakout for activities and delivery:

Activity	Deliverable	Workday allocation		Time period (days) for task completion
		Team Lead	Associate Evaluator	
Review materials and develop work plan	Inception report and evaluation matrix	5	4	9
Participate in an Inception Meeting with UNDP Bhutan country office				
Draft inception report				
Review Documents and stakeholder consultations	Draft evaluation report Stakeholder workshop presentation	15	16	31
Interview stakeholders				
Conduct field visits				
Analyze data				
Develop draft evaluation and lessons report to Country Office				
Present draft Evaluation Report at Validation Workshop	Final evaluation report	5	5	10
Finalize and submit evaluation report incorporating comments/inputs provided by stakeholders.				

[38] This date was revised to January 16

	Totals	25	25	9 weeks

11. Fees and payments

Interested consultants should provide their requested fee rates when they submit their expressions of interest, in USD. The consultant will indicate the cost of services for each deliverable when applying for this consultancy. In accordance with UNDP rules, the lump sum contract amount to be offered should consider the professional fee inclusive of travel, communications, out of pocket expenses, and other ancillary costs. Fee payments will be made upon acceptance and approval by the UNDP Country Office of planned deliverables, based on the following payment schedule:

Submission and acceptance of Inception report	20%
Submission and acceptance of Draft Evaluation Report	40%
Submission of Final Evaluation Report + completed Audit Trail	40%

Annex 6.2. Itinerary for Conducting Final Evaluation

This chart represents a more detailed timeline and work plan and will be developed further with the assistance of UNDP and the Project Team

Date	Task	Person(s) responsible
I. Evaluation Inception (inception meeting, start of desk review and development of Inception report)		
23 Nov	● Inception Meeting: Introductions	Consultants, UNDP,
23-28 Nov	● Preparation and submission of Inception Report	Consultants
29 Nov-1 Dec	● Review of Inception Report by UNDP	UNDP / Project team
1 Dec	● Incorporation of comments and Submission of Final Inception Report to UNDP	Consultant
27-30 Nov	● Introduction and interview requests sent out to stakeholders	UNDP / Project Team
II. Data Collection Finalize Desk Review and conduct interviews with stakeholders and beneficiary stakeholders Some interviews will be conducted by Ellen and others by Pema. Some virtual interviews will be conducted jointly by both consultants.		
6 Dec – 3 Jan	● Interviews with NAP TWG and UNDP PMU	Consultants (Ellen conducted virtually and Pema conducted in person wherever possible).
	● Interviews with governmental agencies (central level)	
	● Interviews with governmental agencies (central level) ● Interviews with governmental agencies (District, Thromde and community level)	
	● Interviews with CSOs and CBOs, SOEs and private sectors	
III. Analysis of Data		
1-5 Jan	Preliminary data analysis	Consultants
V. Draft Evaluation Report		
1-16 Jan	Prepare draft Evaluation report. Submission to UNDP on 16th January 2024.	Consultants
16-Jan – 2 Feb	Review of draft report	UNDP/BRH/TWG
3-8 February	Incorporation of comments and feedback on report	Consultants
VI. Final Evaluation Report		
9 Feb	**Submission of Final Report to UNDP**	Consultants

Annex 6.3. List of Stakeholders and their Involvement in the Project

Stakeholder	Role in the Project
UNDP	Executing Agency and support in implementation
Project Management Unit (PMU)	Project Implementation
NAP Technical Working Group) 21 Members	The TWG for the NAP Readiness Project was constituted on August 2019 through vide no. letter NEC/CCD/NAP/01/2474 dated December 10, 2019, for the following primary roles: 1. provide data and information. 2. identify and appraise adaptation options for the various sectors and prepare the NAP document; and 3. oversee the drafting of the NAP document.
Climate change coordination committee (C4)	Technical level review body for the NAP process
Regional Technical Advisor (UNDP RTA) and Project Associate (UNDP PA)	Technical and Financial Oversight
Ministry of Health	• Data sourcing • Technical backstopping • climate scenario and risk assessment/surveys • adaptation priorities, • Integration into Plans and Programs/projects • Implementation of NAPs • Reporting
Ministry of Finance	Innovative Financing /Budgeting
National Centre for Hydrology and Meteorology (NCHM)	• Board Member • Monitoring and collection of climate data • Data processing and analysis for dissemination • Down scale climate change projection scenarios through research and modelling • Capacity building of climate sensitive sectors on physical science is the basis of climate change projections. • Climate and climate change data and information dissemination
Department of Water, MoENR	• Board Member (former NEC) • Guidance, policy support and provide strategic directives to guide NAP Process • Lead the NAP process, Coordination for Planning, Implementation and Monitoring of NAP
Dept of Local Governance and Disaster Management	• Board Member • Guidance, policy support and advice on mainstreaming disasters in NAP document • Integrate Climate change in the sectors plan, policies and strategies.
Dept of Livestock, MoAL	• Review and technical assistance in the finalization of the Climate risk assessment on agriculture and livestock sectors. • Guidance, policy support and advice on identifying adaptation activities and enabling activities for the agriculture livestock sectors in NAP document. • Integrate Climate change in the sectors plan, policies and strategies.

	• Responsible for increasing productivity of livestock products by ensuring delivery services of appropriate technologies, research and development and service delivery through commodity-based approach.
Dept of Forests and Park Services (DoFPS) – Watershed Management Division, MoENR	• Review and technical assistance in the finalization of the Climate risk assessment on forests and biodiversity • Guidance, policy support and advice on identifying adaptation activities and enabling activities for the forests and biodiversity sector in NAP document. • Integrate Climate change in the sectors plan, policies and strategies. • Watershed management carries number of activities managing water resources to address the ever-increasing water resource problems. Watershed management could be one of the tools to address climate change managing scarce water resources.
Department of Agriculture, MoAL	• Provide technical assistance in the finalization of the Climate risk assessment on agriculture and livestock sectors. • Guidance, policy support and advice on identifying adaptation activities and enabling activities for the agriculture livestock sectors in NAP document. • Integrate climate change in the sectors plan, policies and strategies.
National Biodiversity Centre (NBC), MoAL	• Provide technical assistance in the finalization of the Climate risk assessment on forests and biodiversity. • Guidance, policy support and advice on identifying adaptation activities and enabling activities for the forests and biodiversity sector in NAP document. • Integrate climate change in the sectors plan, policies and strategies of the NBC.
Ministry of Health	• Provide technical assistance in the finalization of the climate risk assessment on health. • Guidance, policy support and advice on identifying adaptation activities and enabling activities for the health sector in NAP document. • Integrate Climate change in the sectors plan, policies and strategies of the MoH.
Thromdes	Climate change is a cross cutting issue and a cause of disasters and disruption in the services and facilities in different Thromdes and urban areas. Thus, for combating climate change and as adaptation measures Thromdes play crucial roles such as providing services and regulating policies on climate/disaster proofing engineering and designing, and also provide technology and products to promote climate/proofed infrastructures, buildings and houses etc.
CSOs – Tarayana Foundation, Royal Society for Protection on Nature (RSPN)	• Community mobilization and engagement • Awareness building • Share Case studies and good adaptation practices and traditional knowledge
Community Leaders: Gups, Gewog Administrative Officers, Thromde Thuemi	• Integration into their LG Plans and Programs • Provide data. • Public consultations • Implementation of NAP activities • Monitoring
Community Members – presumably those who have benefitted from specific projects/who were consulted	• Community mobilization and engagement • Create awareness. • Resource mobilization • Budget sourcing

Academia: Royal University of Bhutan (RUB), JNEC, KGUMSB, Ugyen Wangchuk Institute for Conservation and Environmental Resources (UWICER), CST, CNR Sherubtse College)	• Board Member, participant • Conduct climate change research and studies/baseline studies research dissemination • Awareness support • Integration into curriculum and develop specific undergraduate programs related to environment/climate change. • Support delivery of climate change training to district planners, Local Governments, Media fraternity and representatives of the Financial Institutions.
Royal Institute of Management (RIM)	• Board Member • Participants in Board discussions and implementation of curriculum for trainees • Conduct climate change research and studies/baseline studies research dissemination • Awareness support • Integration into curriculum and develop specific undergraduate programs related to environment/climate change
Green roads, ABTO, Loden Foundation, BCCI,	• identification of private sectors' role in NAP implementation. • Create awareness. • Budget sourcing • Integration and implementation of adaptation actions
Asst. Environment Officers (AEO) and Gewog Administrative Officers (GAOs)	Beneficiaries of Climate Action Training
Officials from districts	Participants (Capacity Building on Climate Action)
Green Climate Fund (GC)	Donor

Annex 6.4. List of People Interviewed

No.	Name	Gender	Position	Agency	Role in NAP	Date interviewed (2023)
1	Tsheten Dorji	Male	Chief	Sustainable Livelihood Division, Royal Society for Protection of Nature	TWG	6 Dec
2	Sonam Pelden Thaye	Female	Director	Royal Civil Service Commission	Board Member while in RIM	7 Dec
3	Sonam Zangmo	Female	Assistant Budget Officer	Dept. of Planning, Budget and Finance, Ministry of Finance	TWG	7 Dec
4	Dr. Om Katel	Male	Lecturer	College of Natural Resource	Participant for Training of Trainers and Trainer	7 Dec
5	Sonam Tobgay	Male	Lecturer	Sherubtse College	Participant for Training of Trainers and Trainer	7 Dec
6	Bhawana Chettri	Female	Chief	Geometric and Logistic, Ministry of Infrastructure and Transport	TWG	8 Dec
7	Selden	Female	Samdrup Jongkhar Thromde Thuemi	Samdrup Jongkhar Thromde	Training participant	11 Dec
8	Tshering Wangchen	Male	Deputy Chief Agriculture Officer	Agriculture Research and Innovation Division (ARID), Department of Agriculture, Ministry of Agriculture and Livestock	TWG	12 Dec
9	Dr. Karma Tenzin	Male	Associate Professor, Basic and Clinical Physiology Head	Centre for Research in Respiratory and Neuroscience	TWG	12 Dec
10	Sangay Dorji	Male	Program Officer	Department of Local Governance and Disaster Management, Ministry of Home Affairs	TWG	13 Dec
11	Sonam Wangmo	Female	Chief	Department of Academic and Research Royal University of Bhutan	TWG	15 Dec
12	Chonga Zangpo	Male	Lecturer and Head of Department	Department of Finance and Business, Royal Institute of Management	ToT	15 Dec
13	Karma Yuden	Female	Program	Program, Tarayana Foundation	TWG	15 Dec
14-16	Karma Gyeltshen (GAO) K. R Ghalley (Gup) Pema Chedup (Gup)	3 male	GAO, 2 Gups	Local Government (Kabisa GAO, Pemaling Gup, Khengkhar Gup)	Training Participants	19 Dec

17-23	Karma Dupchu Board Sangay Dorji Jamyang Phuntsho Ugyen Chophel Trashi Namgyel Ugyen Lhamo Sangay Tenzin TWG	6 male, 1 Female	Director Chief, WCSD Offtg. Chief, HWRSD SO, WCSD Dy. Chief, TSRD Hydro-met Officer Engineer, HWRSD	National Centre for Hydrology and Meteorology (NCHM)	Karma Dupchu, Board Sangay Tenzin, TWG Sangay Dorji, Implementation Jamyang Phuntsho, Implementation Ugyen Chophel, Implementation Trashi Namgyel, Implementation Ugyen Lhamo, Implementation	19 Dec
24	Liam Fee	Male	Regional Technical Advisor	United Nations Development Programme	Technical Advisor	19 Dec
25	Pema Thinley	Male	Engineer	Department of Energy, Ministry of Energy and Natural Resource	TWG	19 Dec
25	Sonam Gyalpo	Male	Sr. Environment Officer	Department of Environment and Climate Change, Ministry of Energy and Natural Resource	Lead Focal from RGoB	25 Dec
27-28	Netra Sharma Tshering Yangtsho	Male Female	Project Manager Project Associate	United Nation Development Programme	Project Management Unit	25 Dec
29	Shermila Limbu	Female	Thuemi	Phuentsholing Thromde	Participant	4 Jan
30	Pema Yangzom	Female	Thuemi	Thimphu Thromde	Participant	4 Jan
31	Kinley Choden	Female	Sr. Environment Officer	Department of Water	Participant	14 Jan
32	Dawa Yoezer	Male	Deputy Chief Forestry Officer	Department of Water, MoENR	TWG	4 Jan
33	Pelna Wangchuk	Male	Planning Officer	Policy and Planning Section, Phuentsholing Thromde	Participant	4 Jan
34	Karma Dorji	Male	Senior Planning Officer	Policy and Planning Section, Thimphu Thromde	Participant	5 Jan
35	Kelzang Choden	Female	Forestry Officer	Bumthang, Ministry of Energy and Natural Resource	Participant	2 Jan
36	Tashi Dendup	Male	Health Assistant	Tang PHC	Participant	4 Jan
37	Kinley	Male	Chief Education Officer	Gasa Dzongkhag	Participant	5 Jan
38	Wangdi Gyelpo	Male	Deputy Chief Planning Officer	Chukha Dzongkhag	Participant	3 Jan
39	Jigme Lharig	Male	Forestry Officer	Chukha, Ministry of Energy and Natural Resource	Participant	3 Jan

Annex 6.5. List of Documents Reviewed

Galer, Nathan, Oversight Mission Report, UNDP team

NEC/UNDP, SDG Structured Dialogue, NAP Readiness Project, Thimphu 2020

NEC/UNDP, Assessment of Climate Risks on Agriculture for NAP Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2022

NEC/UNDP, Assessment of Climate Risks on Forests and Biodiversity for NAP Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2022

NEC/UNDP, Assessment of Climate Risks on Health for NAP Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2022

NEC/UNDP, Assessment of climate risks on Water Resources for the NAP in Bhutan, NAP Readiness Project, Thimphu 2022

NEC/UNDP, Climate Change Vulnerability Analyses and Mapping for NAP Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2022

NEC/UNDP, Guidelines for National Adaptation Plan (NAP) Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2020

NEC/UNDP, Project Document (ProDoc)

NEC/UNDP, GCF NAP Inception Workshop Report

NEC/UNDP, Protocol for NAP formulation process in Bhutan, NAP Readiness Project, Thimphu 2020

NEC/UNDP, Skills Assessment for Climate Change Vulnerability Analyses and National Adaptation Plan (NAP) Mapping for National Adaptation Plan (NAP) Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2020

NEC/UNDP, Skills Assessment for NAP Formulation Process in Bhutan, Thimphu, Bhutan, NAP Readiness Project, Thimphu 2020

NEC/UNDP, Stakeholder Engagement Plan for National Adaptation Plan (NAP), NAP Readiness Project, Thimphu 2020

NEC/UNDP, Stocktaking for Climate Change Vulnerability Analyses and National Adaptation Plan (NAP) Mapping for National Adaptation Plan (NAP) Formulation Process in Bhutan, NAP Readiness Project, Thimphu 2020

RGOB, National Environment Commission, Climate Change Policy of the Kingdom of Bhutan 2020. Royal Government of Bhutan, Thimphu 2020

RGoB 2023, First National Adaptation Plan (NAP)

RUB/NEC/UNDP, A Roadmap and Strategy for Strengthening Climate Change Research in Bhutan 2021 – 2025, NAP Readiness Project, Thimphu 2020

UNDP, Combined Delivery Reports (CDR), for 2019, 2020, 2021 and 2022

UNDP, Readiness and Preparatory Support, Biennial Progress Reports (BPR) for 2019, 2020, 2021 and 2022

UNDP Project DOA Initiation Plan

UNDP, Project Board Meeting Minutes, (First, Second, Third, Fourth, Fifth and Sixth Meetings)

Annex 6.6. Evaluation Matrix

(*Note that for the purposes of data collection, these questions will be assigned to the appropriate stakeholder during interviews and focus group discussions. The questions in the matrix below are general in nature and will be used to guide discussions. The nature of semi structured interviews and focus group discussions is to allow the discussion to be fluid and in this way more unplanned for avenues of discussion may emerge*).

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GCF Focal area, and to the environment and development priorities at the local, regional and national level?			
• How well was the Project aligned with overall government and your agency's priorities? (be specific on gov't policy/action plans etc.) • Was the NAP Project aligned with: ○ Country Programme Outcome #2: By 2023, Bhutan's vulnerable communities and its economy are more resilient to climate-induced and other disasters and biodiversity loss; and ○ UNDP Strategic Plan Output #2.3.1: Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis. • Was the NAP project aligned with UNDAF? The United Nations Sustainable Development Cooperation Framework (UNSDCF)? SDGs? GCF strategic programming? Give details. • To what extent was NAP's selected method of delivery been appropriate to the development context? • Have any national or local level policies on climate change adaptation been influenced by the NAP Project? Give examples of national and local level plans • Has the Theory of Change been a suitable basis for the NAP initiative? What could be changed to make it more suitable?	High level of coherence between project and policies More climate change adaptation in policies, strategies, and action plans Partnerships formed were important to the progress and finalization of the NAP. Diverse stakeholders were consulted at the inception stage of the NAP.	Government Partners Project Board Members Project Management Unit (PMU) NAP Technical Working group (TWG) UNDP (RR or Dep RR) RTA	• Document review • Semi-structured interviews • Focus Group Discussions

Evaluative Criteria Questions	Indicators	Sources	Methodology
• Was the project informed by the needs and interests of relevant groups and organizations in the country? To what extent?			
• Was the NAP training or course content aligned with national or local government or your organization's climate change priorities? • Training/course reflect current climate change adaptation priorities in Bhutan? • Which topics were most relevant? • Which topics were least relevant? • Which topics were missing and needs to be included, in your opinion? • Was there any training on gender issues?	Participants were satisfied with the content of the training modules. Participants' knowledge of climate change adaptation was increased as a result of the training	Participants of Capacity development training: i.e. • RIM graduates who have taken CC integrated course (gender balance) • Participants of Vulnerability and Risk Assessment trainings • Capacity building on climate action participants from various districts (mid-level batch) • ToT participants from CNR, KGUMSB, Sherubtse, Green Roads, MoF etc.	• Document review exp the evaluation of climate change training (contact Kesang Dechen) • Semi-structured interviews (note: Introductory questions on gender of respondent, location (rural/urban) etc needs to be included)
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved? (*1. Enhanced coordination, learning and knowledge management for an iterative NAP process. 2. Technical capacity enhanced for the generation of climate scenarios and impact assessment. 3. Vulnerability assessments undertaken, and adaptation options appraised and prioritized.4. NAP formulated and capacity for implementation and monitoring established*)			
• Was the research roadmap developed with NAP (GCF) support? If it is an outcome, then how much research has been generated (indicating the barriers to research have been overcome) (PMU). Have some of the milestones been reached?	Outcomes and outputs were achieved.	Government Partners Other Partners (Universities)	• Document review

Evaluative Criteria Questions	Indicators	Sources	Methodology
• Have the four outcomes and the outputs been achieved? What could have improved the attainment of the outcomes and outputs? • What was the project's most significant achievement? What contributed to this? Were there any barriers that had to be overcome for this achievement? • Did anything impede or challenge the progress of the project? What contributed to the progress/success of the project? • Has the project overcome the barriers as outlined in the Theory of Change? (PMU) • Has the NAP project contributed to institutional strengthening? How? (Compare with the suggested institutional framework on page 52 of the Stocktaking report) • Is climate change adaptation now integrated into district plans and national strategies/plans as a result of the NAP? • Has the NAP Project been effective in helping improve climate change adaptation planning in Bhutan? Give examples. • Have partnerships (Universities and other) strengthened the project and the outcomes? How? • What worked well and what were barriers to partnerships? • Were there any positive or negative unintended changes due to the project? • How has gender been integrated in the NAP formulation? • Have the climate risk assessments done for the climate sensitive sectors identified the differential impacts of climate change on women? Elderly? People with Disabilities?	Challenges and successes have been documented and applied as lessons learned for next NAP iteration. The NAP has been integrated into climate change adaptation planning at the national and district levels. Partnerships formed were important to the progress and finalization of the NAP. The NAP has increased awareness and implementation of gender equality and other human rights in climate change adaptation	TWG PMU Project Board Local government – district leaders	• Semi-structured interviews • Focus Group Discussions

Evaluative Criteria Questions	Indicators	Sources	Methodology
• Did the NAP climate trainings discuss the differential impacts of CC on gender? • Could the project have done more to ensure gender equality/empowerment? (*Point out finding of 29 March 2021 Nathan Galer UNDP, Oversight Mission report, "No Gender Action Plan, no gender analysis nor gender indicators in M&E plan" and ask what they did after this comment?) • Did the NAP project take a human rights-based approach and include the most vulnerable (PWD, socially or economically marginalized people)? • What did the climate risk assessment in priority areas lead to? (Specific question to organizations dealing with the 4 priority sectors) • How well is the Bhutan Climate platform functioning? (was developed to facilitate coordination among stakeholders, knowledge management and communication and reporting and monitoring) • Have there been any changes in the district plans or priority activities after training? (district leaders only) • In your view, what were "good practices", "success stories"? • In your view, what are the most important lessons learned that could be applied to the next iteration of the NAP?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards? (*Efficiency is a measure of how economically resources and inputs (funds, expertise, time, etc.) are converted to results. It is most applied to the input-output link in the causal chain of an intervention.*)			
• How well did the project management structure (Board, technical working group, PMU, M&E system etc.) work together to get project results? Could anything have been done differently? (Project board tasks in the ProDoc page 49)	Project implementation was enhanced due to an effective project	Project Board PMU UNDP	Document review (budget and annual reports)

Evaluative Criteria Questions	Indicators	Sources	Methodology
Adaptive management – ask PMU about changes to the project design and project outputs during implementation. Were there changes made as a result of the 13.9 NAP Implementation Progress Report? For example, were changes made due to the six recommendations in the report? Adaptive Management The TE team should take note whether there were changes made to the project design during implementation, why these changes were made and what the approval process was. Questions to address include: • What significant changes did the project undergo as a result of recommendations from the Mid-Term Review, or as a result of other review procedures? Explain the process and implications. (Consider presenting the MTR recommendations, management responses to the recommendations, and TE team comments in a table format.) 31 Access at: https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html 43 • If the changes were extensive, how did they materially change the expected project outcomes? • Were the project changes articulated in writing and then considered and approved by the Project Board? GCF additionality? • Were the financial resources for the NAP's project appropriate for the planned outcomes? Could the financial resources have been allocated differently for better outcomes? • Where there any delays in the activities and outputs? What caused them and how could those delays been avoided? • Has there been an economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.)?	management structure. Financial and human resources were suitable to achieve project outcomes. Monitoring and evaluation was sufficient for learning and adaptive management	GCF TWG	Semi structured interviews

Evaluative Criteria Questions	Indicators	Sources	Methodology
• Did the monitoring and evaluation systems that NAP has in place help to ensure that activities and outputs were managed efficiently and effectively? How could M&E be improved? • Were different approaches considered in designing the Project and if so, why was the approach chosen? • Were there good lines of communication between project management and the participating National and district stakeholders? • Did the Project extension affect cost effectiveness? Could it have been avoided?			
Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results? (*Sustainability is the continuation or likely continuation of positive effects from a project after it has come to an end, and its potential for scale-up and/or replication. UNDP-supported GEF-financed projects are intended to be environmentally as well as institutionally, financially, politically, culturally and socially sustainable*.)			
• What is the likelihood that the NAP Project benefits/improvements (specifically outcomes) will continue beyond project period? What is in place or what needs to be in place to ensure they will continue? • Are there examples of sustainability strategies built into project design to ensure benefits will continue (e.g. systems or structures)? • Is institutional capacity sustainable? What contributes to this or what are the challenges to this? • Do the relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained? • Are there any bankable projects/programs developed for resource mobilization? (financial sustainability)	There are indications that the benefits of the NAP project will continue after the project ends i.e. development planning will continue to incorporate climate change adaptation and ensure the required allocation of human and financial resources	Project Board PMU UNDP TWG	Document review (Inception report, ProDoc, board meeting minutes) Semi structured interviews

Evaluative Criteria Questions	Indicators	Sources	Methodology
• To what extent have partners committed to providing continuing support? • Identify barriers and risks that may prevent further progress towards long term impact. • Do the local governments at the Dzongkhag and Gewog level have a voice at the national level? If so, by what mechanism? (district and gewog only)			
• Beyond the Project period, are there systems or structures or capacities in place in your organization to continue capacity building after the Project ends? What are these?		Participants involved in capacity development	FGD Semi-structured interviews
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment? (*The TE report must evaluate the project's gender results which are defined as project outputs or outcomes that have been found to be contributing (positively or negatively) to gender equality and women's empowerment. The gender results of a GEF-financed project would include results planned for as part of the gender action plan and project results framework, as well as any other unplanned gender results produced by project activities*.)			
• Did the project design include a gender assessment and gender action plan? Where there gender indicators in M&E and/or a gender analysis? Why or why not? How could the project have improved in this regard? • Were adequate resources allocated for gender equality actions or for mainstreaming? • Did the project consult and integrate national/local strategies to advance gender equality? • Did the project promote gender equality during implementation? How? Were there any unintended effects of this?	Development planning at the national and district levels will integrate gender equality guidelines and appropriate resources to ensuring gender mainstreaming	Project Board PMU UNDP TWG	Document review (inception report, ProDoc) Progress reports Semi structured interviews
• Was a vulnerability assessment conducted at the community level? Would an assessment at this level been an important contribution to the NAP? Why/why not? (district and gewog only)		District leaders Village heads	Semi structured interviews

Evaluative Criteria Questions	Indicators	Sources	Methodology
			FGD
Human Rights: Extent to which the project contributed to a human rights-based approach			
• To what extent were poor, indigenous and tribal peoples, women, People with Disabilities (PWDs), and other disadvantaged and marginalized groups consulted about NAP? • To what extent have poor, indigenous and tribal peoples, women, PWDs, and other disadvantaged and marginalized groups benefitted from NAP's interventions? • What could have been done better to ensure more marginalized were included? • Were adequate time and resources allocated for integrating human rights, needs and interests in the Project?	Projects involving climate change adaptation will consult and integrate the perspectives of women as well as socially and economically marginalized people	Project Board PMU UNDP TWG District leaders Village heads	Semi structured interviews
• Who in your community was consulted for the CRA Water Assessment? (# women/men?) (district and gewog only)		District leaders Village heads	Semi structured interviews or FGD
Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status? (*assess and report on progress towards the long-term impact outlined in the project's Theory of Change and the extent to which long-term impact can be attributed to the project; note the purpose of the Bhutan NAP is: "to protect the health, lives, livelihoods and happiness of the people of Bhutan from the adverse impacts of climate change by building adaptive capacity and enhancing resilience to reduce vulnerability and by integrating adaptation actions into the development planning process at all levels."*			
• Has awareness, knowledge and skills of CC increased? • Were there contributions to changes in policy/legal/regulatory frameworks? Is there now better access to information? By who? • What adaptation actions have been incorporated into development planning?	Mechanisms are in place to monitor the impact of the NAP on climate change adaption actions in Bhutan, especially with regard to	Government Partners Project Board PMU UNDP	Document review Semi structured interviews

Evaluative Criteria Questions	Indicators	Sources	Methodology
• Has the project assisted women in having greater access to and control of resources, decision-making and changed the division of labour? How? • CC vulnerability analysis and mapping – did this lead to changes in the LG plans or priority activities? How could the vulnerability analysis be improved? • How many people have benefited?	improving the life and livelihoods of those most affected by climate change impacts	TWG District Leaders Village Heads	
• At your organization level, what has changed as a result of the capacity building? • Are there observed changes in capacities (awareness, knowledge, skills)?		Capacity building participants	Semi structured interviews or FGD
To what extent have the project been impacted by COVID			
• Where any project activities delayed or otherwise impacted by COVID-related restrictions?		Government Partners Project Board PMU UNDP TWG	Document review Semi structured interviews

Annex 6.7. Indicator Status and Activity achievement chart for project outcomes
(Achieved = green; Partially Achieved = yellow; Ongoing = orange; N.D. = no data)

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
Outcome 1: Enhanced coordination, learning and knowledge management for an iterative NAP process							
1.1 Protocol and institutional coordination pathways established.	Existence and status of NAP TWG	NAP TWG established	*Scattered policies and organizational mandates, impacting CCA in different ways.*	*Clear and concise pathways of communication, reporting, and organizational structures for CCA based decision making.*	1.1.1 Develop guidelines and a protocol to facilitate process for planners and anyone else engaged in the NAP formulation and implementation across institutions at all administrative levels and across sectors to provide guidance on the iterative nature of the process. Deliverable: Recruit the NAP PMU, Assemble NAP-TWG (NTWG) team and board (Y1, Month 1-3); Prepare the NAP project work plan (Y1, Month 2); Prepare a draft of the guidelines and protocol and share with all stakeholders. (Y1, Months 3-4).	All recruitment done in 2019; draft guidelines and protocol done in 2019 The drafts of the NAP protocol, guidelines and Stakeholder engagement plan complete	
	Existence of new NAP workplan and protocol/guidelines and their status (developed, validated, etc.)	NAP workplan, protocol					
	Existence and status of new stakeholder engagement plan for NAP process	Stakeholder engagement plan developed			1.1.2 Develop a stakeholder engagement plan for the NAP process in collaboration with the Climate change coordination committee (C4), drawing upon stakeholder consultations already undertaken during the launch by the Prime Minister, Royal Government of Bhutan (RGoB) in March 2016, and the consultations conducted during the activities of the Readiness NDA[39]. Deliverable: Stakeholder mapping and engagement plan developed; Workshop with stakeholders to raise awareness, present NAP project workplan, present draft guidelines and protocol, and elicit feedback. (Y1, Months 4 - 8); Seek endorsement of guidelines through C4.	draft in 2019; completed in 2021	Unclear if and how the C4 was included

[39] Activity 1.2 "*1.2. Supporting ongoing engagement of stakeholders at national and sub-national level* " in the Readiness Proposal, "**Strengthening the Capacity of NDA to access resources from the Green Climate Fund"**

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of stakeholders who have participated in awareness-raising on NAP process and/or who have provided feedback on NAP guidelines and protocol increased.	NAP Regional and National consultations: 217 participants (171 m and 46 f) from central agencies, LG, Development Partners, CSO, financial institutions and private sectors.					
1.2 Learning and understanding for climate risk informed planning of decision makers improved	Existence of capacity assessment of C4, NEC, and other relevant agencies.	The skills assessment included NEC but did not include C4	*Unclear understanding of skills necessary for CCA policy decision making.*	*A cadre of trained staff in C4 & NEC who can effectively advance the NAP process.* *Opportunities to*	1.2.1 Prepare a capacity and skills assessment of institutions at the policy, organizational and operational level that are relevant to the NAP process in generating climate information, risk and vulnerability assessments and adaptation analyses and effective knowledge management. Deliverable: A report on the existing capacities and skills, and a gap analysis (Y1, Months 4 – 8)	Finalization and publication of Capacity and skills assessment for NAP process	only NEC addressed and not C4

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Existence of capacity development strategy for C4, NEC, and other relevant agencies.	The strategy was developed	*Government and official staff not trained in scientific and technical skills for CCA decision making.*	*improve capacities within governmental organizations through engaging similar decision makers in other countries with similar contexts.*	1.2.2 Prepare a strategy to address and strengthen/implement the capacity and skills of institutions for generating relevant information in supporting the NAP process. This will be undertaken by upgrading the basic capacity development plan for climate change adaptation developed under Bhutan's NAPA II Project. Deliverable: Strategy (clearly defined) with recommendations which the NEC & C4 can incorporate to address the gaps identified in 1.2.1. (Y1, Months 9-10)	Finalization and publication Strategy strengthen skills of institutions 2021	only NEC was addressed in this activity, not the C4
	Number of peer-to-peer knowledge exchange and technical trainings developed on adaptation.	At least five events were held to enable peer-to-peer exchange			1.2.3 Undertake annual peer to peer exchange and Peer-to Peer Technical Trainings internationally, and within the broader Asia-Pacific region, to learn and share lessons on adaptation planning through the following:	Participation by Board Members n Philippines S-S learning exchange 2019 TWG Participation in	only three events - not one per year as planned due to COVID

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of events where NAP lessons learned are shared within the region.	Possibly four international events for NAP knowledge sharing			Participation at Regional and Global NAP Expo(s) and at Regional Adaptation Forum(s) (At least 4 Events over Y1,Y2,Y3,Y4) Peer-to Peer Technical Trainings on policies, vulnerability assessments, and integration of CCA in planning and budgeting (3 trainings – 1 on each topic) Deliverable: A report on lessons learned and recommendations for Bhutan from each forum/expo/training (Y1, Y2, Y3, Y4 - Month 10);	NAP expo in Botswana 2022 Participation in Gobeshona 6 conference 2020 VARA training conducted 2021 Representatives from NECS and NAP drafting committee attended the Asia-Pacific NAP workshop in Cambodia 2022	
	Number of additional people trained on climate change adaptation and development planning via project activities.	Trained 981 people (738 m, 243 f) on climate change actions, adaptation, vulnerability			1.2.4 Deliver modules within the training programme of the Royal Institute of Management, Bhutan to target both entry level and civil servants at all levels on climate change adaptation and development planning. Collaborate with other national training units/organisations to deliver training modules and collaborate with potential	Finalization of the *proposal* to integrate the climate into existing courses at RIM and draft modules for CC integration at RIM produced (2021)	Hybrid training model used due to COVD Integration with existing course was deemed more effective than separate subjects/ modu

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Percent of trainees recording positive uptake of these skills into use in routine work	79% of respondents incorporated the learnings from the training into their work; 46% of respondents (28% f and 52% m) have conducted a CCVA for their community; 75% of respondents have made changes in their lifestyle r to mitigate CC; and 81% have utilized some aspects of the CC policy in their work[40].			capacity building initiatives under the Paris Capacity building initiative. Deliverable: Training Modules developed; Training of Trainers conducted; Pilot class applications formulated and rolled out (Y2, Months 13-18)	Manuals for CC integration modules for RIM produced 2021 ToT conducted	

[40] Evaluation of climate change trainings conducted under the NAP Readiness Project, DECC, Dec 2023

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
1.3 Knowledge management systems to strengthen climate responsive planning.	New protocol and platform for CCA data management and sharing exists and is validated/adopted.		*No comprehensive list of all adaptation related actions in country.*	*A "one stop shop" for all CCA efforts for Bhutan.*	1.3.1 Develop a protocol for management of data and information for cc adaptation (data production, collection, processing, storage and communication by harmonizing/standardizing indicators). Deliverable: Protocol Manual; Workshop with relevant staff members (Y1, Month 10-12)	Protocol document produced	
					1.3.2 Establish an adaptation platform for Information and knowledge management to support climate responsive planning and the NAP process. This will be based on the data and knowledge management protocol and will include data storage and dissemination and integration with other existing environmental and socio-economic information systems. Deliverable: Website or software developed as adaptation platform (Y2, Months 13 – 36)	The draft UI design of the climate platform and protocol for management of data and information for CC adaptation and developing adaptation platform for information and knowledge management delivered, 2021. Bhutan climate platform developed and protocol for management of data and information for CC adaptation produced National GHG inventory system developed	The website for the Bhutan Climate Platform is https://bcp.zca-lab.com/ and the GHG Inventory is https://ghg.zca-lab.com/

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of additional people trained on CC risk data availability and in use of the web-based platform.	70 officials from NCHM trained (56 m,14 f) on web-based Meteorological services and hydrological systems for Flood Forecasting and Early Warning Services			1.3.3 Support access to climate change information for sectors and stakeholders in partnerships with other institutions and programmes that also utilize climate information by strengthening their capacity in comprehending and using the available climate information. Deliverable: Training Workshops and hardware and software components to enable access to the information (Y2, Month 22)	web-based Meteorological services and integration with Centralized Database system started	Training support for access to CC information not yet conducted
	Percentage of institutions/stakeholders working on SDG localization who are newly involved in dialogue on CC risks and inclusion in SDG localisation efforts.	N.D.	*Activities in parallel on similar themes with organizations working on SDGs.*	*Complementary initiatives with organizations working to incorporate SDGs.*	1.3.4 Undertake structured dialogue with institutions working on localising SDGs to ensure that climate change risks for relevant SDGs goals and targets are included in the NAP stocktaking exercise. Deliverable: Joint dialogue with NEC and GNHC and other relevant institutions working on SDGs conducted, feedback on adaptation planning stocktaking report elicited; At least two to three entry points identified to work on with those orgs/ report. (Y1, Month 11-12)	Joint dialogue with NEC and GNHC and other relevant institutions working on SDGs conducted, SDG Dialogue report produced	
Outcome 2 Technical capacity enhanced for the generation of climate scenarios and impact assessment							
2.1 Assessment of gaps and needs in the data and information requirements for adaptation	Existence and status of newly developed stocktaking report for CCA data and scenarios.		*Disjointed information and knowledge database, the collective knowledge is not*	*Coherent knowledge base on CCA at a national level, with clear gaps identified, and*	2.1.1 Conduct a stocktaking of existing information and data gaps on climate change risks, impacts of climate change on sectors, and existing scenarios available. Deliverable: Stocktaking report on climate information for adaptation planning completed (Q4, Y1: Months 10-12	Assessment and stocktaking done in 2020.	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
planning done and scenarios prepared			*creating a complete picture of climate change or adaptation at a national level in Bhutan.*	*methods to close them.*	2.1.2 Compile and synthesize existing global, regional, and existing climate scenarios and projections for Bhutan and its twenty Dzongkhags. Deliverable: A suite of downscaled climate scenarios prepared covering national and dzongkhags. (Y1, Months 12-18)	Draft report on downscaled climate scenarios for 20 dzongkhags produced	
	Number of newly created socio-economic CC risk scenarios (national, subnational).	N.D.			2.1.3 Prepare socio-economic scenarios that include macroeconomic modelling at the national and sub-national level for Bhutan to inform V&A and CC risk assessment. Deliverable: Report covering socio economic scenarios and vision document (Y2, Months 13-16)	Socio-economic scenarios developed 2020	
	Number of climate impact tools identified, newly adopted, and in use.	Climate Risk Assessment (CRA) Climate Vulnerability Assessment (CVA) Climate modelling tool			2.1.4 Identify and adapt appropriate climate impact modelling tools and conduct climate risk and impact assessment of key sectors at national level using a combination of top-down models and bottom-up participatory tools. Conduct targeted assessments on: (i) Traditional and indigenous knowledge (ii) Vulnerable communities (iii) Vulnerable ecosystems Gender assessments will be conducted in parallel as part of NDC Implementation Support programme. Deliverable: Climate impact modeling tools adapted/developed and 3 Reports on Traditional and indigenous knowledge, Vulnerable communities, and Vulnerable ecosystems. (Q1, Y2: Months 13-15)	Final draft of climate change vulnerability Analysis and mapping produced 2012 Four out of seven sectors prioritized	A report on traditional Indigenous knowledge (TIK) produced. No evidence of gender assessments as a tool
	Existence of, and validation of, climate risk and impact assessments for key sectors.						

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
2.2 Capacity across research institutions, scientific community, and universities enhanced.	Number of new MOUs between GoB and external partners for CCA-based learning and knowledge exchange	N.D.	*Scientific CC knowledge not produced locally, and not scaled at all appropriate levels.*	*Local knowledge networks which are proficient in producing localised, and Bhutan context specific CC information.*	2.2.1 Forge partnerships with international, national and sub-national training institutions, research institutes and universities for peer-to-peer learning and knowledge transfer. Deliverable: Consultation meetings with universities and research departments completed; Scoping of joint areas of cooperation, and research capacities; At least 2 MoUs signed. (Y2, Months 16-18)	Assessment of training centres in colleges of Royal University of Bhutan (RUB) completed 2012.	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of new training courses developed on climate impact assessment and modelling	N.D.			2.2.2 Design and implement a training programme in partnership with international and regional scientific institutions to enhance the capacity of national scientific and technical communities, on scenario development, impact modelling and targeted assessments incorporating gender components and including both classroom and on-the-job training for three institutions: RUB, UWICE and Royal Thimphu College (This activity is complementary to 2.1.1 - 2.1.4) Deliverable: Curriculum; Training of Trainers; Participants Manual (Y2, Months 19 – 24)	cross country and sector specific CC training conducted in 2020 Training on CC vulnerability and risk mapping conducted to the relevant sectors. Training reports submitted. Two rounds of CC ToT conducted virtually, 2022	
	Number of identified (existence of) CCA research strategies and priorities in Roadmap.				2.2.3 Develop a strategy and roadmap for climate research to outline the required information requirements including scientific observation to support adaptation planning in collaboration with a national network of research institutions. Deliverable: Strategy and roadmap developed. (Y2, Month 22)	Preparation of the climate research strategy completed 2020.	
Outcome 3: Vulnerability assessments undertaken and adaptation options appraised and prioritised							

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
3.1 Climate vulnerabilities assessed, and adaptation options identified across all sectors identified.	Number of sector climate vulnerability assessments newly conducted, and number of adaptation intervention options appraised.	CRA conducted for four sectors	*No sector specific adaptation information*.	*Sector specific CCA options exist*.	3.1.1 Building on the second national communication findings, undertake vulnerability assessments of 3-4 key sectors and appraise adaptation interventions. Sectors/issues to be considered include infrastructure, energy, agriculture, health, forest, biodiversity, and glaciers with timelines for implementation and appropriate consideration or urban and rural considerations. Deliverable: Sector-wise vulnerability assessment reports (Y3, Months 28 – 33)	CVA conducted for four key sectors and draft reports produced CRA conducted on four key sectors of Agriculture, Water, Health and Forest and Biodiversity and published in 2022	from the NAP progress report: Adaptation actions across seven sectors were identified
	Number of people newly trained on vulnerability assessments.	116 people (80 m, 36 f) trained on CCVA for four sectors: health, agriculture, water, forests & biodiversity			3.1.2 Provide training for sector planners and decision-makers through specialised trainings on vulnerability assessment Deliverable: Training Curriculum developed in partnership with regional institutions/think tanks (Y1, Q2, Month 10; Training of Trainers conducted (Y2, Month 13);	Capacity devel of TWG on CRA and climate modelling completed See training described for 2.2	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of trainees utilizing skills in VA in their work following training.	Out of 250 respondents, 81% of the respondents stated that they have utilized some aspects of the climate change policy in their work.				Training curriculum developed in 2022. Climate concepts to be integrated in modules in Sherubtse College and College of Natural Resources (RUB)	
3.2 Parallel to 3.1, climate vulnerabilities assessed and adaptation options identified for water sector.	Existence of newly developed national CC impact assessment on water sector.		*Water resources lacking the appropriate strategy for CCA.*	*Options exist for tackling CCA in the water sector.*	3.2.1 Undertake a detailed national impact assessment of climate change on water resources and implications for water as a key factor for drinking, sanitation, energy and food. Deliverable: Report on projections of water availability under climate change and expected impact on water resources (Q4, Y3))	started in 2019 and CVA conducted in 2020 Draft reports on climate projection, hydrological modelling and bottom up approach produced 2021 (activity 3.2.1, 3.2.2 and 3.3.3) Final report on climate risk assessment on water resources delivered with adaptation priorities.	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of newly completed CC impact assessments on urban water systems (by urban area).	N.D.			3.2.2 Prepare an assessment of potential climate change impacts on the urban water supply, sanitation and storm water system for four major urban centres (Thimphu, Phuentsholing, Gelephu, Samdrup Jongkhar) Deliverable: Report on impacts of climate change on 4 urban centers (Y3, Months 34-36)	started in 2019 Consultations and validation workshops conducted with the key sectors and local government.	Were the major urban centres involved?
	Number of identified and appraised adaptation options in the water sector and related sectors.	*Ca. 43 (NAP)*			3.2.3 Identify adaptation options in the water sector and water dependent sectors – taking cross-sectoral issues into account and examining the nexus between sectors such as water, energy and food. Adaptation options to be surveyed include both ecosystem-based adaptation and physical infrastructure and potential for Public Private Partnership. Deliverable: Report on adaptation options on the water, energy, food and climate nexus. (Y3, Months 31 – 33)	started in 2019 and CCA options identified in 2020 The Ground water assessment in Gelephu Gewog Sarpang District was completed.	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of developed project concepts based on prioritised adaptation options in the water sector.	ACREWAS, AF Water project, for project districts kindly			3.2.4 Prepare a set of project ideas with 1-2 detailed project/programme concepts based on prioritised adaptation options to be submitted to climate funds such as GCF. Deliverable: 1-2 projects/programmes prepared. (Y2 – Y3, Months 13 – 33)	Green Infrastructure and Open spaces system for Thimphu city has started. Concept note prepared for GEF-LDCF urban resilience project	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
3.3 Screening tools to facilitate the integration of climate change adaptation into development planning applied.	Number of newly developed or updated CCA screening guidelines developed for development projects	GNH, PBCCAG, NAPA, and biological corridors	*No method to cost CCA projects.*	*Formalised set of tools and guidelines to estimate financial costs and implications of CCA projects.*	3.3.1 Develop a screening guideline for climate change adaptation for utilization by relevant line agency planners and budget staff. The screening guideline will focus on distinction between business-as-usual development projects and additional climate change adaptation interventions and will support development of business cases for adaptation interventions. Deliverable: Report with guidelines (Q2, Y1: Month 4-6)	The GNH screening tool is used (but does not always incorp CC) other tools used are the Performance based CCA grants (PBCCAG) and management plans for Biological corridors use CC; as did the NAPA III externally funded project (2020)	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of additional people trained in use of CCA project screening guidelines.	Ongoing activity; M&E framework CCA screening guidelines developed. Training to be provided Jan 2024 to TWG and other stakeholders.			3.3.2 Prepare and deliver face-to-face training packages to users for application of the CCA screening guideline and climate expenditure methodology in routine planning tasks such as preparation of sector, national and sub-national plans and budgets, and targeted training for NAP-TW Deliverable: Training packages for CCA prepared; Training packages delivered in collaboration with local institutions (Y2: M10 -15)	20 Dzongkhags through two rounds of training benefitting 100 male and 20 female participants 2022 LG Gups, Gewog Administrative Officers, Thromde Thuemis, CSOs. 205 Gewogs and four Thromdes benefitting 330 male and 82 female participants.	
	Number of people trained who are utilizing CCA screening tools in their project appraisal work.						
	Existence of new or updated adaptation costing framework.				3.3.3 Fine tune an adaptation costing framework (including costing and appraisal options), which will extend to climate change adaptation by modifying existing methodology under application for conducting an ongoing biodiversity and climate expenditure review by the BIOFIN project. Deliverable: Costing framework for the NAP elaborated with estimates (Y2 – 24-28)	**IN PROGRESS 2024**	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of cross-sector collaborative/integrated adaptation planning efforts underway. Number of new guidelines created for synergizing approach for adaptation planning across sectors.				3.3.4 Develop a mechanism and guideline for synergizing approaches for adaptation planning across different cross cutting issues and thematic areas such as biodiversity, desertification and water under the MEAs. Deliverable: Guideline developed for cross sectoral collaboration and synergizing approaches for adaptation planning (Y2- Y3: M28 -32)	IN PROGRESS 2024	
Outcome 4: NAP formulated, and capacity for implementation and monitoring established.							
4.1 National Adaptation Plan formulated and communicated.	NAP formulated through a consultative process and finalized by October 2021		*No existing NAP draft.*	*Draft of NAP formulated.*	4.1.1 Constitute a multi-disciplinary team to draft the National Adaptation Plan. Deliverable: Terms of Reference drafted for the team. Members formally nominated and assigned by the relevant sectoral ministries. Writers recruited to support the team and compile the NAP. (Y1, Month 10 - 12)		
					4.1.2 Constitute a peer review group and advisory group. Deliverable: Selection criteria developed for team members; Terms of Reference drafted; Contracts awarded. (Y1, Month 10 - 12)		

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
					4.1.2 Organise consultation meetings at the national and sub-national level in collaboration with MRGs Deliverable: Report formulated (Y2, Month 20)		
					4.1.3 Prepare a draft National Adaptation Plan including Implementation and Financing Strategy. Undertake sectoral consultations and peer review by the advisory group. Deliverable: Draft of a NAP. (Y3, Months 25 – 27)		
					4.1.4 Final draft of the National Adaptation Plan will be reviewed and approved by the Climate Change Coordination Committee (C4) and National Climate Change Committee (NCCC). The final NAP will also inform and serve the adaptation communication under the Paris Agreement. Deliverable: A NAP document finalized . (Y3, Month 36)		

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
4.2 Strategy for NAP implementation developed.	Existence and status of a NAP implementation strategy.		*NAP's implementation strategy not created.*	*NAP's implementation strategy created.*	4.2.1 Develop a medium-term National Adaptation Plan Implementation Strategy as part of the NAP document. This will also inform the National Key Result Area 6 of the upcoming 12th FYP (2018-2023) viz. *Carbon Neutral, Climate and Disaster Resilient Development*. Deliverable: Report of Implementation Strategy developed (Y4, Months 37 – 39)		
4.3 Outreach on the NAP process and report on progress and effectiveness developed.	Presence of Bhutan NAP document on UNFCCC website		*Relevant agencies and divisions unaware of the NAP and its contents.*	*All relevant and concerned parties are aware of the NAP and its contents.*	4.3.1 A NAP National launch workshop will be organized to communicate and disseminate the NAP to all stakeholders (nationally and internationally, including the UNFCCC.) Deliverable: Workshop organized; NAP Submission to UNFCCC Website. (Y2, Month 40)	A daft NAP was presented to the regional and national agencies to communicate the NAP process and links to SDG, NDC.	Was there an official launch?
	Number of additional suggestions for NAP process gathered from stakeholders at annual workshops				4.3.2 Annual consultation workshops will be held to share information on the progress in the formulation and implementation of the NAP to gather feedback to improve the process. Deliverable: 4 workshops in Q3 or 4 of each year, since this is annual. (Y2, Month 42)	**In progress 2024**	

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
4.4 System to report, monitor and review the NAP process established.	Existence of newly created M&E framework for CCA and number of indicators in use to measure CC impacts		*Limited GPMS system to track progress, but not for CCA specifically .*	*Detailed tracking of all CCA projects, along with updates, and resource allocations.*	4.4.1 Develop a M&E framework for assessing "climate resilience" to inform and assist integration of CC adaptation into development planning (Five Year Plans). Deliverable: M&E framework with and index and set of indicators for Bhutan's resilience to CC impacts (Y4, Month 40-48)	At the local level, the Local development planning Manual (LDPM) is used to monitor CCA projects 2020 The Monitoring and Evaluation Chapter has been developed as a chapter of NAP that outlines how NAP process and implementation will be monitored.	
	Existence of updated and new technical guidelines for M&E of NAP process, referencing the new M&E framework.				4.4.2 Develop and integrate a monitoring and evaluation (M&E) program for the implementation of the NAP process. Deliverable: M&E protocol for assessing progress, effectiveness, and gaps in the NAP process in Bhutan, after the tools in Outcomes 1 & 2 are completed.		

Outcomes	Indicators	Status of indicator	Baseline	Target	Activities	Status of Activity (achieved, partially achieved or not achieved)	Comments
	Number of additional NAP annual implementation progress reports developed during project period.	One NAP implementation progress report, 2022			4.4.3 Based on the NAP M&E Framework, prepare an Annual NAP Implementation Progress in 2018, 2019 and 2020 to include assessment of NAP progress, effectiveness, and any potential gaps with support from relevant experts. Deliverable: Annual NAP Implementation Progress Report (Y4, M44, 45)		
	Number of newly developed CCA budgeting criteria integrated into the GoB performance management system for expenditure tracking.	RGoB now using climate vulnerability as a criterion in the draft Resource Allocation Formula for the 13th Five- year plan.			4.4.4 Adaptation criteria to be developed and applied within the government performance management system to report and adaptation relevant investments and expenditure. This will contribute to aligning formulation and review of the NAP with the national development planning and investment process. Deliverable: Criteria prepared and agreed with Finance Departments and Line ministries, (Y3, M32-48)		
	Amount of additional $ invested in/spent on adaptation planning year-on-year.						

Annex 6.8. Final Evaluation Ratings Scales

Monitoring & Evaluation and Implementation/Oversight Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no short comings; quality of M&E design/implementation exceeded expectations
5 = Satisfactory (S)	There were minor shortcomings; quality of M&E design/implementation met expectations
4 = Moderately Satisfactory (MS)	There were moderate shortcomings; quality of M&E design/implementation more or less met expectations
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of M&E design/implementation was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of M&E design/implementation was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in M&E design/implementation
Unable to Assess (UA)	The available information does not allow an assessment of the quality of M&E design/implementation.

Outcome Ratings Scale - Relevance, Effectiveness, Efficiency

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