Terminal Evaluation Report

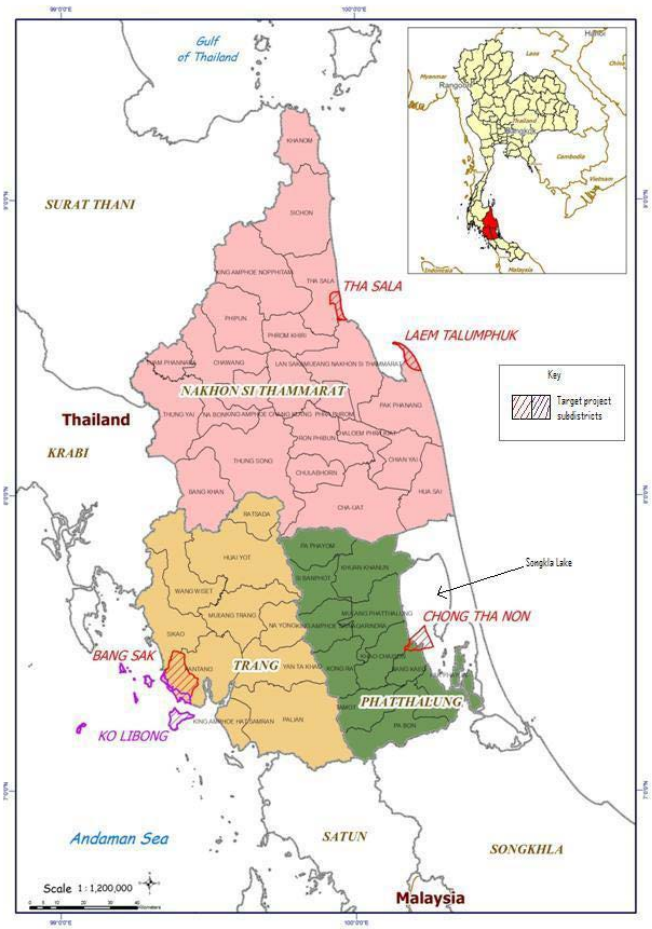
2014 March

Version: Final R2

Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events

GEF Project ID: 3229
UNDP PIMS ID: 3771

Country:	Thailand
Funding Source:	Special Climate Change Fund
Implementing Agency:	United Nations Development Programme
Implementing Partner:	Thai Red Cross Society
Other Responsible Parties:	Department of Disaster Prevention & Mitigation, Ministry of Interior Sustainable Development Foundation
Implementation Timeframe:	August 2010 through March 2014



Project Sites (map source: Project Document, May 2010)

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Terminal Evaluation Opening Page:

Project Name:	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events
GEF Project ID:	3299
UNDP PIMS ID:	3771
Country:	Thailand
Region:	Asia and the Pacific
Funding Source:	Special Climate Change Fund (SCCF)
Focal Area:	Climate Change
PIF Approval:	29 April 2009
PPG Approval:	29 April 2009
Approval Date:	22 June 2010
Implementing Agency:	United Nations Development Programme (UNDP)
Management Arrangement:	NGO Execution
Implementing Partner:	Thai Red Cross Society (TRCS)
Other Responsible Parties:	Department of Disaster Prevention & Mitigation (DDPM), Ministry of Interior Sustainable Development Foundation (SDF)
Implementation Timeframe:	August 2010 through March 2014
GEF Grant:	USD 869,091 (excluding PPG amount) PPG amount: USD 40,000
Co-Financing, Committed:	USD 3,576,772 TRCS (in-kind & parallel): USD 1,792,950 UNDP (parallel): USD 552,822 SDF (parallel): USD 359,000 DDPM (parallel): USD 871,950
Terminal Evaluation Timeframe:	March 2014
Evaluation Team:	Walaitat Worakul, National Consultant James Lenoci, International Consultant / Team Leader
Language of Evaluation Report:	English

The evaluation team would like acknowledge the information and feedback provided by project stakeholders, including: central and local ministry and agency officials, including the DDPM and ONEP; representatives of the lead implementing partner (TRCS) and other responsible parties, including the SDF and SEA-START; UNDP country office staff, including Ms. Sutharin Koonphol (Programme Analyst, Environment Unit) and Mr. Yusuke Taishi (Regional Technical Specialist); the project management team; and local beneficiaries in the three target areas. The acting project manager, Ms. Jarintip Kaewklam provided valuable support throughout the evaluation process, including logistical support during the field visits.

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Executive Summary

Exhibit 1: Project Summary Table				
Project Title:	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events		**at endorsement (MUSD)**	**at completion (MUSD)**
GEF Project ID:	3299	**GEF financing:**	0.869	0.818
UNDP Project ID:	3771	**IA/EA own:**	0.523	0.523
Country:	Thailand	**Government:**	0.872	0
Region:	Asia and the Pacific	**Other:**	2.152	2.179
Focal Area:	Climate Change	**Total co-financing:**	3.547	2.702
Strategic Program:	Special Climate Change Fund (SCCF)	**Total Project Cost:**	4.416	3.519
Implementing Partner:	Thai Red Cross Society	**Prodoc Signature (date project began):**		22-Jun-10
Other Partners Involved:	Department of Disaster Prevention & Mitigation, Ministry of Interior Sustainable Development Foundation	**(Operational) Closing Date:**	Proposed: 01 Aug 2013	Actual: 31 Mar 2014

Note: GEF financing amount at completion is total expenditures through 31 Dec 2013

Project Description

The Project was designed to strengthen the adaptive capacity of vulnerable coastal communities in Thailand to climate change-related risks and extreme weather events. To increase the resilience of these people, it is necessary to integrate climate change adaptation into provincial development plans and sector policies. Three provinces in southern Thailand have been selected for the project implementation: Nakhon si Thammarat, Phatthalung, and Trang. The project aimed to strengthen the adaptive capacity of vulnerable coastal communities in these provinces by helping communities to:

a) demonstrate the development benefits of community-based adaptation (CBA) to government planners and decision-makers, and

b) obtain greater policy and sustained financial support for CBA through provincial and local government development plans and budget allocations.

The lead implementing partner of this project was the Thai Red Cross Society (TRCS), where a Project Management Unit was established. The TRCS worked with the Department of Disaster Mitigation & Prevention (DDPM) and the Sustainable Development Foundation (SDF), and SEA-START provided technical inputs especially in the area of climate risk assessments.

The Project is closely aligned with the principles of the 11th National Economic and Social Development Plan (2012-2016); the Royal philosophy of the "Sufficiency Economy" (resilience is one of the key principles of the philosophy); the UNPAF for 2012-16, particularly Program 2 (Human Rights and Access to Justice) and Program 4 (Climate Change); and to GEF Strategy (2010-2014) on Adaptation to Climate Change for the Special Climate Change Fund (SCCF)

Terminal Evaluation Purpose and Methodology

This terminal evaluation was conducted to provide conclusions and recommendations about the relevance, efficiency, effectiveness, sustainability, and impact of the Project. The evaluation also aimed to identify lessons from the Project for future similar undertakings, and to propose recommendations for ensuring the sustainability of the results. The evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, review of available documents and records, and findings made during field visits.

Evaluation Ratings

Evaluation ratings are tabulated below in **Exhibit 2**.

Exhibit 2: Evaluation Rating Table

Criteria	Rating	Comments
1. Monitoring and Evaluation		
M&E Design at Entry	Satisfactory	M&E plan was reasonably extensive. Monitoring metrics were not formulated to effectively capture performance targets, however.
M&E Plan Implementation	Moderately Satisfactory	No adjustments were made to the logical results framework at inception phase or later on. Project results insufficiently reported, partly due to weak monitoring. Mid-term review was completed late in the project, and limited evidence of post-closure monitoring accounted for. Also, exit strategy not elaborated.
Overall Quality of M&E	Moderately Satisfactory	
2. Implementing Agency (IA) and Implementing Partner (Executing Agency - EA) Execution		
Quality of IA Execution	S-MS	Facilitation of technical support could have been better. Although UNDP was involved in drafting the MOU between TRCS-SDF-SEASTART, the arrangements set forth in this document seemed to diminish the role of the lead IP in 2 of the 3 provinces. Capacity of lead IP was insufficiently strengthened.
Quality of EA Execution	Moderately Satisfactory	The Project did not receive the same recognition among concerned units within the TRCS. Staff had insufficient CC knowledge and limited capacity for fostering community and provincial level planning.
Overall IA-EA Execution	Moderately Satisfactory	Although the NGO implementation modality had some comparative advantages over NIM, roles and responsibilities among the lead IP and RPs were not fully worked out and technical support was uncoordinated.
3. Assessment of Outcomes		
Relevance	Relevant	The project is relevant with respect to the ONEP CC master plan for 2013-2050, particularly with respect to community engagement. Also, relevant with respect to the UNDP CO UNPAF, (2012-2016), Program 4, Climate Change. At operational level, the project is also relevant with situation in pilot communities with high level vulnerabilities. Yet, level of CC awareness and needs for adaptation at provincial level is relatively low; there was no specific strategies/plan to address CC as provincial priorities. Also consistent with objectives of GEF Strategy (2010-2014) on Adaptation to Climate Change for the Special Climate Change Fund (SCCF), aiming at developing countries to become climate-resilient by promoting both immediate and longer-term adaptation measures in development policies, plans, programs, projects, and actions.
Effectiveness	Moderately Satisfactory	Project results have contributed to increased capacity of vulnerable local groups in influencing community planning processes, but uptake by provincial and national level institutions lower than expectations.
Efficiency	Moderately Satisfactory	From an incremental cost criteria standpoint, the level of additionality was limited, e.g., CCA undistinguished from general community development needs. No evidence of TRCS co-financing, except for commitment letter in prodoc. Disbursements of payments to field stations were not on time, due to rigid administrative procedures.
Overall Outcome Rating	Moderately Satisfactory	Overall, outcome targets only moderately satisfactorily achieved, due to: (1) design shortcomings, e.g., unrealistic national-level dimension; (2) limited government agency involvement, particularly for Outcome 3; (3) lack of provincial level coordinators; and (4) uncoordinated technical support.
4. Sustainability		
Financial Risks	Moderately Likely	Financing low-cost CCA measures by local communities is within their means, but, for substantial interventions, subnational administrations have only partial autonomy and discretion with respect to funding. There

Exhibit 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
		are increasing trends in terms of fiscal decentralization, however.
Socio-Economic Risks	Moderately Likely	Due to the centralized nature of public financing, political agendas often outweigh concerns for local community development.
Institutional Framework and Governance Risks	Moderately Likely	Although there have been efforts to shift to a more decentralized public administration process, public expenditures remain highly centralized. Also, institutional capacity in CC issues at the local and provincial levels is relatively low.
Environmental Risks	Moderately Likely	Adaptive capacity of targeted local communities remains relatively low, and, hence, communities continue to be vulnerable to the effects of climate change.
Overall Likelihood of Sustainability	Moderately Likely	There have been some successes of local communities influencing provincial level planning and funding, but the centralized nature of public financing in Thailand is generally counterproductive to bottom-up approaches aimed at strengthening community level capacities.

Major Project Strengths and Achievements

Despite some constraints in implementation and stakeholder involvement, the Project was one of the first initiatives in the country where climate change adaptation was demonstrated through community-based actions. The Project made meaningful contributions to the capacity of the target communities and subnational government administrations, and provided potential entry points to develop further. Although the Project outcomes were not fully achieved, there is potential for them to be further taken up by concerned line agencies engaged in Project implementation. Some of the major achievements and strengths of the Project are outlined below.

Locally appropriate climate adaptation measures demonstrated in target areas

The 6 sub-districts engaged in the three target provinces have a combined population of approx. 54,008 inhabitants (as of Dec 2010[1]) with 41,243 directly and indirectly engaged in project activities. The results of the vulnerability and capacity assessments have informed communities of the potential risks of climate change and also the potential adaptive measures that can be taken to strengthen their resilience. Moreover, 28 climate risk reduction actions were approved by sub-district authorities and implemented by civil society organizations and other groups, benefiting 18,816 households. Measures included improved agricultural techniques, more equitable water resource management, dredging waterways to reduce impacts from flooding, introduction of revolving funds to protect fishermen against increasingly damaging extreme weather events, mangrove rehabilitation, alternative livelihood programs focused around more sustainable use of coastal resources, such as support for a crab bank, and activities aimed at reducing vulnerabilities to climate change, e.g., production of life vests.

The watershed approach implemented in the Tachied River communities serves as a good practice of how community-level adaptation measures and improved lines of communication among beneficiaries can have ecosystem-scale benefits, compared to the typical, narrower scope of community interventions that tend to be confined to administrative borders.

[1] http://service.nso.go.th/snopublish/district

Further empowered local communities

The Project has had clear impacts with respect to further empowering local, vulnerable coastal communities. Community empowerment is critical for successfully adapting to climate change, through collectively managing and restoring ecosystem services and resolving social concerns through strengthened community networks and more informed public participation. The communities engaged in the Project activities have had extensive experiences in self-managed development, particularly in natural resources and disaster relief management. The Project further empowered them to develop and implement climate change adaptation actions, which resulted in high level of local ownership over the Project interventions by community groups, consisting of men, women, youth and children.

Locally demonstrated adaptation measures have leveraged sub-district, provincial, national, and private sector support

Through pilot climate risk reduction interventions and interactions with sub-national administrative authorities, the Project has successfully leveraged support for adaptation measures on a wide range of scales, ranging from the sub-district or TAO, provincial, national, and private sector. Some examples of these are indicated below:

- The Trang Provincial Plan contains two complementary adaptation measures:
    1. A crab bank is financed with 400,000 THB (approx. 12,000 USD) annually over the period 2015-17, under the Coastal Fishery Development Research and Development Center; and
    2. Rehabilitation of coastal areas with THB 200,000 (approx. 6,000 USD) annually for 4 years from 2015; implemented under the Provincial Natural Resources and Environment Office.
- Tha Sala TAO Development plan for 2013-2015 includes projects on:
    1. Community preparedness for climate change (Information campaign and evacuation drills) with 30,000 THB (approx. 1,000 USD) per year;
    2. Mangrove afforestation with 30,000 THB (approx. 1,000 USD) per year; and
    3. Global warming awareness, through delivering training to school children on the need for energy and environmental conservation
- The Siam Cement Group Foundation, a CSR arm of the large SCG company, has reportedly committed to collaborate with the Koh Libong Island TAO in supporting some of the Project initiated activities, including constructing more check dams and increasing coverage of a particular coastal grass that can help reduce coastal erosion.
- The Jongthanon TAO (Phatthalung province) has included further financing for the fishing gear revolving fund that was established with Project support.
- The national Department of Marine and Coastal Resources (DMCR) have indicated that they will showcase Libong Island (Trang province) as a model of sustainable development, with respect to using traditional methods in mangrove rehabilitation to reduce coastal erosion and promote consequential benefits, including increased fish stocks and enhanced protection against extreme weather events.
- During the Project Board meeting on 14 May 2014, the DDPM officer from Nakhon si Thamarrat indicated that million 9 THB was obtained from the Governor's budget to suppor the Laem Thalumphuk sub-district for constructing an offshore stone break-water.

Promoted strengthening of community networks

In Phatthalung province, the project adopted "whole-watershed adaptation management" approach where communities along the upstream, midstream and downstream of the Tachied River watershed were engaged in the VCA process and action planning. Although climate change adaptation activities across these three areas were different to respond to varying climate change risks, all communities work collaboratively under the network approach where they share the same goal at the watershed level. Through the network, they were able to successfully address issue such as fair water distribution from irrigation canals along the watershed areas, which would not have been done before. The advantage of this network is that it enables communities to tackle more complicated problems in a more collective and stronger way. In addition, this watershed network also provided a platform for local communities to exchange their experiences and lessons learnt.

In the other two provinces, there were no formal community networks established under the project activities. However, the project organized a study visit for the participants from Trang to Phatthalung, which resulted in mutual support on traditional check dam construction in a later stage. A few knowledge exchange forums were also organized for participating communities from the three provinces, a result of which contributed partly to Outcome 4 of the Project.

Facilitated improved linkages between community groups and subnational authorities

The Project has successfully linked target communities with provincial planners and other officials, and engaged them to learn about provincial planning procedures, and some of the community representatives have participated in the procedures themselves. For example, the leader of the Tachied Watershed Networks sits in the provincial sub-committee on natural resources management planning. The Chief of the Agricultural Extension Officer in Bangkaew district, Phatthalung also linked the parachuting rice activity of Napakhor communities into the provincial agricultural plan by promoting the communities as a farming learning center.

Through collaborative stakeholder involvement, formulated recommendations will be considered in national climate change action plan, following approval of the ONEP climate change master plan

The ONEP has completed drafting of the National Climate Change Master Plan for 2013-50 and are awaiting approval, which has been delayed due to the current political instability in the country. ONEP officials informed the TE team that their agency will be formulating short term, medium term, and longer term action plans once the Master Plan is approved, and they will consider the recommendations resulting from the national forum supported by the Project in October 2013.

Key Shortcomings

Unclear and inefficient strategy for influencing sub-national planning processes

The Project design did not adequately map out a strategy for inclusion of climate change adaptation into subnational processes, and the expectations were unclear. There are several sub-national funding mechanisms available to local communities. For example, there are financing opportunities through programs managed by ministerial line agencies from their regional offices, e.g., the DMCR or DDPM. Local administrations are roughly broken down into appointed and elected structures; the appointed Provincial Administration extends from village to sub-district to district and up to province level, with development planning carried out by each of the these subnational authorities. There are also local revenues and central government contributions available at the elected Local Administration level. These structures are illustrated below.

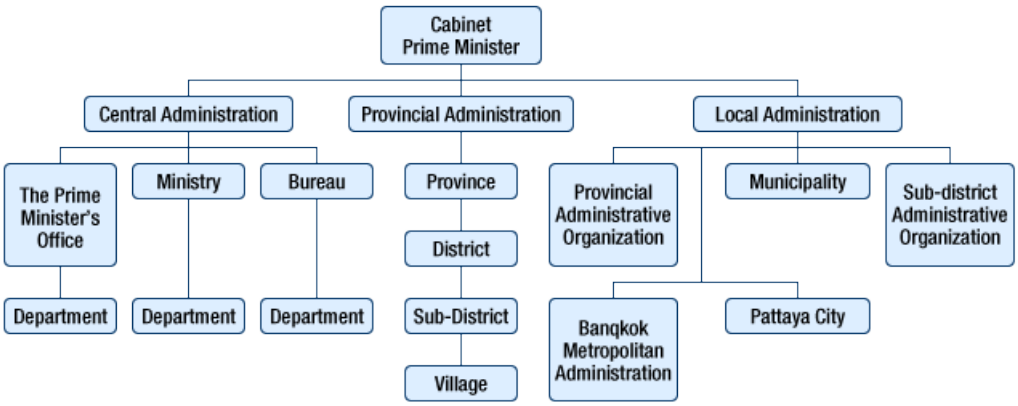

Exhibit 3: An overview of Subnational Administrative Structures in Thailand[1]

There was some interaction at each of the levels described above, but there was no systematic strategy, and efforts appeared to be rather ad hoc. Also, not allocating any activity in the first year of a three year project on the outcome involving integrating community-based adaptation integration (Outcome 3) into provincial planning was an over-estimation of how efficient the team could be in just two years. According to Thailand's centralized budgeting and planning cycle, it takes 18-24 months for a project at provincial level to be approved by Bangkok-based ministries/departments and the Budget Bureau. Decentralization in Thailand is a work-in-progress; discretionary funding targets have not been fully achieved and the overall hierarchy of authority still favors centralized structures. Influencing provincial development processes requires time, which was not sufficiently factored into the Project design and implementation.

Limited involvement of governmental stakeholders diminishes effectiveness and sustainability

Although there were some good examples of line agency involvement at the local level, substantive engagement by national and provincial level line agencies was relatively low. The DDPM was one of the responsible parties on the Project, but they had virtually no implementation role. For example, the DDPM is implementing a CBDRM project in the country which covers 26,000 communities. Having a more active role in implementation on the INCA project, e.g., with respect to the VCA process, would have enabled potential replication on their nation-wide program.

Forming Project-specific committees at each of the three target provincial offices was based on sensible intentions, for increasing involvement of relevant subnational governmental stakeholders. In practice, the committees were not fully engaged in the operation of the Project and gained limited experience in VCA process and CC adaptation planning. As a result, the 2015 provincial development plans of these three provinces do not address CC adaptation in specific ways, even though the provinces have been identified as highly vulnerable to climate change.

Some of the other key stakeholders had only observer roles in the Project, including the ONEP, the national focal agency for the UNFCC. The national agency mandated with spatial planning responsibility, the Department of Public Works and Town & Country Planning (DPT), Ministry of Interior, had no discernible involvement in the Project.

Insufficient focus on top-down mechanisms

Bottom-up processes were followed in all three provinces, in line with the expertise of the responsible parties, with SDF following the natural resource management methods implemented on some of their other projects, while TRCS built upon their community-based disaster

[1] http://www.mlit.go.jp/kokudokeikaku/international/spw/general/thailand/index_e.html

preparedness proficiency. The limited focus of top-down influence on subnational planning was largely due to the capacity of the lead implementing partner. There are TRCS chapters in each province, typically chaired by the spouse of the provincial governors, but these offices are involved mostly in fund-raising, blood drives, and other charitable events. The TRCS office tasked with implementation was Station 12, under the Bureau of Relief, which serves a regional function with coverage extending to 12 provinces in the south of Thailand. More importantly, TRCS management and field personnel mostly have health-care backgrounds, with some experience working with communities on disaster relief efforts but very little involvement in subnational planning.

Few efforts made to strengthen capacity of lead implementation partner

The stakeholder analysis outlined in the Project Document does point out that the capacity of the TRCS in terms of community-based climate change adaptation planning needed to be strengthened, as their experience was mostly on disaster preparedness and relief outreach among local communities. There was limited evidence of concentrated efforts to build capacity of TRCS staff, including those tasked with coordinating field activities, and also those in the headquarters office, and moreover, the people hired for project management. This is considered a significant shortcoming, as it is unreasonable to expect an agency to lead the implementation of such a project with very limited institutional capacity in climate change adaptation.

Low ownership and rigid organizational structures of lead implementation partner

There was a high level of interest in the Project among interviewed TRCS management and field personnel, but inflexible organizational structures of TRCS constrained the implementation of the project and there seemed to be little attention made to accommodate certain procedures to facilitate the Project. For example, the project management unit was nearly invisible in the TRCS headquarters, with unclear reporting lines. Disbursements to the field stations were in some cases late, partly due to rigid internal procedures. The evaluation team was informed that field personnel sometimes advanced their own money to pay grant beneficiaries, to avoid consequences of delays in payment. There was little evidence, however, that this level of commitment was rewarded, in fact, the performance based rewarding system of TRCS did not take into account staff's time and contribution to implementation of the Project.

Technical support was uncoordinated and inconsistent

Technical support was found to be largely uncoordinated and inconsistent during Project implementation. The organization SEA-START was envisioned to provide technical assistance, as formalized in the MOU between TRCS, SDF, and SEA-START. After the former director of SEA-START left the organization in the first year of the Project, assistance from them dwindled and was mostly delivered in the form of knowledge products, such as weather maps. The vulnerability and capacity assessments (VCAs) were carried out using different protocols in the target provinces, and there seemed to have been limited scientific analysis of the proposed climate risk reduction measures. The TE team recognizes that there are demographic and other situational differences among the targeted communities and methodologies need to adapt to local conditions, but, these processes should have had more technical oversight, ensuring certain criteria are fulfilled and also enabling the decisions that were made to better stand up to analytical scrutiny, e.g., at a later stage when there might be interest to replicate or scale up the interventions.

The UNDP did raise the concern about limited technical coordination (e.g., BTOR, 18 July 2012)[1] and the TE team was informed that the UNDP also recommended hiring a full-time technical advisor. According to findings of the TE, these recommendations were not followed, and technical oversight remained inconsistent. Under circumstances where the lead implementing partner had limited technical working knowledge of climate change adaptation and implementation was spread among more than one responsible party, technical support should have been better coordinated.

Climate change adaption insufficiently advocated

One of the consequences of limited technical oversight was observed by the TE team during the evaluation mission, in that there was a fairly low level of differentiation of climate change adaptation in the community-based interventions, compared to the "business as usual" activities that have been implemented earlier to varying extent in these areas. Even though adaptation measures are often cross-cutting with other developmental approaches, e.g., water resource management, the degree of additionality, through clear adaptation strategies, was not entirely evident.

Only some of the activities proposed and approved for the grants under the Project were directly related to climate change adaptation. These included the early warning system network, implemented in all target communities; the mangrove rehabilitation for boat refuge (based on the tsunami experience); the adoption of native rice variety and growing method to adapt to the climate change pattern for food security; and the co-management of water resource to reduce risks associated with flooding and drought. Many of the other of grant activities, however, were seen as 'business as usual'. Although they were claimed to potentially have long-term impact on community's livelihoods and life security in the context of climate change, their link to adaptation are somewhat unclear. For example, the agro-forestry activities were implemented primarily for economic objectives; however, continued increases in agro-forestry coverage could have an eventual influence on reducing flood risks, such as intensive erosion in upland areas.

Insufficient monitoring of results

Some of the results achieved through the pilot climate risk reduction interventions were difficult to verify by the TE team, particularly those related to influence on subnational plans and budgets. This seems partly due to inconsistent monitoring, and a general weakness in how monitoring was carried out during Project implementation.

Recommendations

There remain opportunities for including climate change adaptation into the upcoming four-year strategic provincial plans (2015-18)

The four-year strategic plans (2015-2018) of the three provinces provide flexibility for climate change adaptation projects/activities to be included from 2016 fiscal year onwards, by having concerned line agencies submit the proposals which are a continuation or enhancement of the Project results.

We suggest holding a joint workshop with subnational planners and regional agency officials from the three provinces and facilitated by the UNDP, to discuss which actions could be integrated into their strategic plans and how to best ensure continued focus on community-based adaptation in subnational planning and budgeting.

[1] Back to Office Report, 18 July 2012, UNDP Thailand.

Support a top-down VCA in order to better facilitate engagement by provincial level planners

The vulnerability and capacity assessments (VCAs) were carried out on a village scale and the proposed climate risk reduction measures were also, in most cases, rather small in size. Provincial planners would likely gain a more insightful perspective if a VCA would be made on a province dimension. The assessment would not need to be detailed, but rather a broad look at land use trends and pressures on coastal areas and resources.

Integrate climate change adaptation in spatial and land use planning processes

Subnational administrations are actively involved in spatial planning, and the 50-year National Spatial Development Policy covers the fields of (1) land use and development, (2) agriculture, (3) urban and rural development, (4) industry, (5) tourism, (6) social services, (7) transportation, energy, IT, telecommunication, (8) prevention of natural disasters (ref.: Department of Public Works and Town & Country Planning, Ministry of Interior). By integrating climate change adaptation into spatial plans, e.g., with respect to land use, the impacts could potentially be more widespread and more sustainable, and the result would provide an overall framework for some of the activities proposed in the socioeconomic development processes.

With concerns involving the prospect of ASEAN integration in 2015 and also the experiences of the devastating floods of 2011, there is currently momentum focused on revising the National Spatial Development Plan. Under these circumstances, there is a potential entry point for introducing climate change adaptation as a cross-cutting component.

Expand environmental impact assessment practice and legislation with climate change adaptation aspects

Continued economic expansion in Thailand will impart further pressures on ecosystems. By expanding the environmental impact assessment requirements to include climate change adaptation aspects, development within coastal communities, and elsewhere in the country, would need to better demonstrate that ecosystem services are being sustainably utilized and not jeopardized, and the built environment is designed in a way to enhance adaptive capacities in the face of climate change.

Sponsor a case study of a moderate size "hard" measure that links community-based adaptation

Focusing on a case study that showcases interaction among subnational authorities on a moderate size "hard" measure would be useful in terms of demonstrating available funding mechanisms for more substantial interventions, for instance, through the provincial plan or supported by one of the line ministries at the regional or district level.

Include intangible benefits into performance indicators for such projects

For such development projects, indicators need to be formulated that measure such intangible aspects. Measurement is not as straightforward as for indicators that can easily be quantified, but there are existing tools available, such as livelihood surveys that can be applied.

Promote traditional knowledge for climate change adaptation

The Project has successfully highlighted local capacity in implementing traditional knowledge in climate change adaptation. An example was observed at Libong Island in the Trang province, where villagers have been experimenting with expanding mangrove forests and collecting information to assess ecosystem responses. These efforts should be linked with the national project on coastal conservation, where there might be a chance to upscale the techniques in other regions of the country.

Good Practices

Utilized local experience of NGOs in the region

The NGOs involved in Project implementation have extensive experience in Thailand, and the Project benefited from this comparative advantage. For example, both TRCS and SDF have worked closely with communities on disaster relief, natural resource conservation, and other activities. SDF and their local network NGOs, in particular, applied a community-empowerment approach which allowed local communities to take the "driver's seat" in their own development. This resulted in high level engagement and ownership of target communities on the project activities.

Implementation modality had certain advantages, particularly with respect to strengthening community level capacities

Despite some of the shortcomings described earlier, largely due to mismatched capacities, a NGO implementation modality has certain advantages, particularly with respect to facilitating bottom-up community-based interventions. NGOs have much more experience than governmental stakeholders in leading such initiatives. A NGO modality is not however the preferred approach for leading top-down initiatives. The best solution might have been a combined NGO-National implementation modality.

Facilitated strengthening the role of women in some of the target communities

Several of the Project beneficiaries were women groups, and there were gender criteria incorporated into the small grant component. During some of the TE field visits, women were leading discussions, demonstrating their skill in project management, and were respected by male members of the communities. The approach taken in selecting grant beneficiaries was successful in empowering women.

Training in management and financial accounting is empowering for the community groups

Each of the interviewed beneficiary groups stressed how much they appreciated the training and hands-on experience they gained in management and financial accounting. Such capacity building efforts is considered money well spent, as the likelihood of sustainability of the results achieved by these groups is greatly enhanced.

Lessons Learned

Expecting provincial level planning results requires concerted involvement from government agencies

Bottom-up approaches are proven at being effective in empowering local communities, but in order to achieve buy-in from provincial and central level governmental authorities, there needs to be proportional top-down engagement, which requires concerted involvement by government stakeholders. There needs to be proactive engagement with provincial governors or at least provincial planning directors from key line agencies during the project formulation process, in order to:

1. Demonstrate to them the need for carrying out VCAs and climate change risk reduction actions, and convincing them of how these issues need to receive high priority in provincial development planning;
2. Formalize their commitment in the Project, e.g., by agreeing to certain co-financing targets in the form of replication or scaling up some of the interventions;

3. Solicit their input on how such projects could best be managed in order to achieve the intended outcomes. This process might be facilitated by performing a SWOT analysis of the available implementation modalities (NIM, DIM, NGO Execution, and combination of one or more of these);
4. As the field coordinators on this project were instrumental in mobilizing local interest and overseeing community-level interactions, there should be similar coordination within provincial and central agencies.

Community level development activities are typically recurrent or small-scale one-off measures

Typical measures included in community socio-economic development plans are recurrent in nature, e.g., canal dredging. These activities do contribute to an overall increase in adaptive capacity, but they are planned more as maintenance tasks and less as strategic climate change risk reduction measures. Incorporating climate change adaptation into community spatial plans would likely provide frameworks, e.g., through land use planning, that could be used to more strategically guide socio-economic development plans.

Working with three different provinces was probably too expansive

Considering the budget and time constraints, working with communities in three different provinces seems to have been too expansive, resources were spread thin and the project management team spent a lot of time on coordination and administrative issues, which were variable in each of the targeted areas. Concentrating on one province might have yielded better results, as it would have likely been easier to have the Project team focus on one set of provincial stakeholders, rather than three. The climate issues were more or less similar in the three provinces, albeit there are demographic and geographic differences, but these did not seem to dictate how successful the Project efforts were.

The performance management system mandate by the government influences stakeholder involvement on issues outside their core responsibilities

It was evident at both subnational and central government levels that management is focused on key performance indicators prescribed for their organizations. Focus on agency performance was also observed within the TRCS. Although it is debatable how effective these systems have been at improving the quality of public services, agency officials are indeed incentivized on reaching their set targets, and this in a way constrains being involved in such international projects that require staff and other resources to be diverted from their normal work duties.

To inform and have impact on national level policy, grounded project experiences need to be systematically consolidated and documented

As stated earlier, monitoring of results was generally weak during Project implementation. It is difficult to convince provincial or national policy makers if experiences are not sufficiently consolidated and well substantiated by proven ground experiences.

Indicators for such projects should also capture intangible benefits realized

Many of benefits of community-based adaptation are intangible, such as increased social capital, but nonetheless, they significantly contribute in strengthening resilience and reducing vulnerability.

Certain groups are sensitized to receiving free, unconditional assistance

Some of the community groups who benefited from Project support, particularly in the small grant component, are experienced in working with international donors. There should be higher co-financing demands for similar projects in the future, particularly for those groups who have relatively strong fund-raising capacities.

Abbreviations and Acronyms

APRC	Asia-Pacific Regional Centre
AWP	Annual Work plan
CBA	Community-based Adaptation
CCA	Climate Change Adaptation
DDPM	Department of Disaster Prevention and Mitigation, Ministry of Interior
DMCR	Department of Marine and Coastal Resources, MONRE
GEF	Global Environment Facility
HH	Household
IFRC	International Federation of Red Cross and Red Crescent Societies
IPAC	Integrated Provincial Administrative Committee
M&E	Monitoring & Evaluation
MOU	Memorandum of Understanding
MONRE	Ministry of Natural Resources and Environment
MTR	Mid-Term Review
NCCC	National Climate Change Committee
NPD	National Project Director
NPM	National Project Manager
OEPP	Office of Environmental Policy & Planning, Ministry of Science, Technology & Environment
ONEP	Office of Natural Resources and Environmental Policy and Planning, MONRE
PB	Project Board
PONRE	Provincial Office for Natural Resources and Environment
PMU	Project Management Unit
QPR	Quarterly Progress Reports
RCHB	Relief & Community Health Bureau
SCCF	Special Climate Change Fund
SDF	Sustainable Development Foundation
SEA-START	South-east Asia Global Change System for Analysis, Research and Training
Tambon	Sub-District administrative subdivision level; third level, below province and district
TAO	Tambon Administrative Organization
TE	Terminal Evaluation
THB	Thai THB
TRCS	Thai Red Cross Society
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
VCA	Vulnerability Capacity Assessment

1. INTRODUCTION

1.1. Purpose of Evaluation

The objectives of the evaluation were to assess the achievements of project and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the design and implementation of similar projects.

1.2. Evaluation Scope and Methodology

The terminal evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings made during field visits.

The overall approach and methodology of the evaluation followed the guidelines outlined in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects[1].

The evaluation was carried out by an international consultant/team leader and a national consultant, and included the following activities:

- ✓ A debriefing was held on 17 March 2014 at the UNDP Country Office in Bangkok. The evaluation team outlined their inception report, discussed logistical arrangements for the evaluation mission, and was debriefed by UNDP Country Office staff.
- ✓ An evaluation mission was carried out from 17-24 March 2014; the itinerary is compiled in **Annex 1**.
- ✓ The evaluation team interviewed key project stakeholders, listed in **Annex 2**.
- ✓ On 20-22 March, field visits were made to the three target provinces, specifically Phatthalung, Nakhon Si Thammarat, and Trang. A summary of the field visits is presented in **Annex 3**.
- ✓ The evaluation team completed a desk review of relevant sources of information, such as the project document, project progress reports, combined delivery reports, mid-term review, and key project deliverables. A complete list of information reviewed is compiled in **Annex 4**.
- ✓ At the end of the evaluation field mission on 24 March 2014, the evaluation team presented the findings at a debriefing held at the UNDP Country Office in Bangkok.

As a data collection and analysis tool, an evaluation matrix was adapted from the preliminary set of questions included in the TOR. Evidence gathered during the fact-finding phase of the evaluation is documented in the matrix (see **Annex 5**), and for quality assurance, evidence was cross-checked between as many sources as practicable, in order to validate the findings. The project logical results framework was also used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 6**).

1.3. Structure of the Evaluation Report

The evaluation report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following sections in the report:

[1] Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP.

- ✓ Project Formulation
- ✓ Project Implementation
- ✓ Project Results

The discussion under **project formulation** focuses on an evaluation of how clear and practicable were the project's objectives and components, and whether project outcomes were designed according to SMART criteria (see **Exhibit 4**).

Exhibit 4: SMART Criteria

S	**Specific**: Outcomes must use change language, describing a specific future condition
M	**Measurable**: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
A	**Achievable**: Results must be within the capacity of the partners to achieve
R	**Relevant**: Results must make a contribution to selected priorities of the national development framework
T	**Time- bound**: Results are never open-ended. There should be an expected date of accomplishment

Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP

Also, project formulation covers whether or not capacities of executing agencies were sufficiently considered when designing the project, and if partnership arrangements were identified and negotiated prior to project approval. An assessment of how assumptions and risks were taken into account in the development phase is also included.

The report section on **project implementation** first looks at how the logical results framework was used as an M&E tool during the course of the project. Also, the effectiveness of partnerships and the degree of involvement of stakeholders are evaluated. Project finance is assessed, by looking at the degree of co-financing that was materialized in comparison to what was committed, and also whether or not additional or leveraged financing was secured during the implementation phase. The cost-effectiveness of the project is evaluated by analyzing how the planned activities met or exceeded the expected outcomes over the designed timeframe, and whether an appropriate level of due diligence was maintained in managing project funds.

The quality of execution by both the implementing agency and the executing agency is also evaluated and rated in the project implementation section of the report. This evaluation considers whether there was sufficient focus on results, looks at the level of support provided, quality of risk management, and the candor and realism represented in the annual reports.

The project implementation section also contains an evaluation and rating of the project M&E system. The appropriateness of the M&E plan is assessed, as well as a review of how the plan was implemented, e.g., compliance with progress and financial reporting requirements, how were adaptive measures taken in line with M&E findings, and management response to the recommendations from the mid-term review.

In GEF terms, **project results** include direct project outputs, short- to medium-term outcomes, and longer term impact, including global environmental benefits, replication efforts, and local effects. The main focus is at the outcome level, as most UNDP supported GEF financed projects

are expected to achieve anticipated outcomes by project closing, and recognizing that global environmental benefit impacts are difficult to discern and measuring outputs is insufficient to capture project effectiveness.

Project outcomes are evaluated and rated according to relevance, effectiveness, and efficiency:

Relevance: The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. Also, relevance considers the extent to which the project is in line with GEF Operational Programs and strategic priorities.

Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved.

Efficiency: The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

In addition to assessing outcomes, the report includes an evaluation of country ownership, mainstreaming**, sustainability** (which is also rated), catalytic role, mainstreaming, and impact.

With respect to **mainstreaming**, the evaluation assesses the extent to which the Project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

In terms of **impact**, the evaluation team assessed whether the Project has demonstrated: (a) verifiable improvements in adaptation capacity, (b) verifiable reductions in vulnerability to climate change, and/or (c) demonstrated progress towards these impact achievements.

Finally, the evaluation presents **recommendations** for reinforcing and following up on initial project benefits. The report concludes with a discussion of **lessons learned** and **good practices** which should be considered for other GEF and UNDP interventions.

1.4. Ethics

The evaluation was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluation team has signed the Evaluation Consultant Code of Conduct Agreement form (see **Annex 7**). In particular, the evaluator ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results were presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.5. Response to Review Comments

The draft version of the report was reviewed by UNDP staff and other key stakeholders, including the Project board which convened on 14 May 2014 to discuss the report. These comments are compiled along with the evaluation team's responses in **Annex 8**. Relevant modifications to the report are incorporated into this final version.

1.6. Limitations

The evaluation was carried out over a period of 20 consultant days; including preparatory activities, field mission, desk review, and completion of the evaluation report, according to the guidelines outlined in the Terms of Reference (see **Annex 9**). As time was limited, some of the stakeholders earmarked for interviews were unavailable in person, although they did respond to inquiries sent by email and telephone. Also, not all of the interventions implemented in the pilot areas could be visited within the time constraints of the evaluation. Similarly, meetings with subnational authorities could not be arranged with each of the three provinces. The evaluation

team assumes that the information obtained over the course of the evaluation time period is representative.

1.7. Evaluation Ratings

The findings of the evaluation are compared against the targets set forth in the logical results framework, and also analyzed in light of particular local circumstances. The effectiveness and efficiency of project outcomes are rated according to the 6-point GEF scale, ranging from Highly Satisfactory (no shortcomings) to Highly Unsatisfactory (severe shortcomings). Monitoring & evaluation and execution of the implementing and executing agencies were also rated according to this scale. Relevance is evaluated to be either relevant or not relevant.

Sustainability is rated according to a 4-point scale, ranging from Likely (negligible risks to the likelihood of continued benefits after the project ends) to Unlikely (severe risks that project outcomes will not be sustained). Impact was rated according to a 3-point scale, including significant, minimal, and negligible. The rating scales are compiled below in **Exhibit 5**.

Exhibit 5: Rating Scales

Ratings for Effectiveness, Efficiency, M&E, I&E Execution	**Sustainability Ratings:**	**Relevance Ratings:**
6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency	**4: Likely (L)** Negligible risks to sustainability	**2. Relevant (R)**
5: Satisfactory (S): There were only minor shortcomings	**3. Moderately Likely (ML):** Moderate risks to sustainability	**1. Not relevant (NR)**
4. Moderately Satisfactory (MS): There were moderate shortcomings	**2. Moderately Unlikely (MU):** Significant risks to sustainability	**Impact Ratings:**
3. Moderately Unsatisfactory (MU): The project had significant shortcomings	**1. Unlikely (U):** Severe risks to sustainability	**3. Significant (S)**
2. Unsatisfactory (U): There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency		**2. Minimal (M)**
1. Highly Unsatisfactory (HU): The project had severe shortcomings		**1. Negligible (N)**
Additional ratings where relevant: **Not Applicable (N/A)** **Unable to Assess (U/A)**		

Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP

2. PROJECT DESCRIPTION

2.1. Project Start and Duration

Key project dates are listed below:

PIF approval:	29 April 2009
PPG Approval:	29 April 2009
Approval Date:	22 June 2010
Inception:	November-December 2010
Mid-Term Review:	June 2013
Project completion (proposed)	01 August 2013
Project completion (actual)	31 March 2014
Terminal evaluation	March 2014

The project preparation phase was carried out over an approximate one year period, from May 2009 until June 2010. The Project was approved on 22 June 2010. A memorandum of understanding between the lead implementing partner (TRCS) and other responsible parties (SDF and SEA-START) was signed in November of that year and the first Project Board meeting was held on 7 December 2010. The 3-year duration project effectively started at the end of 2010, and the end date was at that time shifted to December 2013, from the originally planned completion of August of that year.

A mid-term review was performed in June 2013, 6 months before the Project was about to close. A no-cost extension was granted until the end of March 2014, and the terminal evaluation was carried out that month.

2.2. Problems that the Project Sought to Address

The densely populated and economically valuable coastal areas in Thailand are especially vulnerable to climate-related hazards, particularly in the southern peninsula, which is bordered by the Gulf of Thailand to the east and the Andaman Sea to the west. Several studies (e.g., OEPP 2000[1]) have predicted that the impacts from climate change and extreme weather events include the following:

- An increase in aquatic and terrestrial pests and diseases
- Increased frequency and severity of tropical storms
- Increased coastal erosion caused by storms and sea level rise
- Sea water inundation in low lying coastal areas
- Salt water intrusion into aquifers and other freshwater resources
- A reduction in mangrove forests with associated impacts on fish and bird species, due to sea level rise
- Increased incidence of coral bleaching due to rises in sea surface temperatures

[1] For example: OEPP 2000. *Thailand's Initial National Communication under the United Nations Framework Convention on Climate Change.* Ministry of Science, Technology and Environment. Bangkok, Thailand

These effects are of particular concern to coastal communities, numbering approximately 13 million in Thailand or 20% of the population, which rely directly or indirectly on climate-sensitive coastal and marine resources for their livelihoods. These risks were graphically illustrated by the consequences of the catastrophic Indian Ocean Tsunami that struck the region in December 2004.

Through the efforts of the Thai government to partially decentralize development planning and budgeting, subnational administrative authorities are faced with an increasing role in terms of climate change adaptation. However, these authorities and the communities they serve lack the necessary capacity to fulfill their expanded mandates and responsibilities.

2.3. Immediate and Development Objectives of the Project

The immediate objective of the Project was to integrate climate change adaptation options into the development planning processes of target coast communities in three provinces of southern Thailand.

The broader, development objective was to increase the adaptive capacity of vulnerable coastal communities in Thailand to climate change related risks and extreme weather events.

2.4. Baseline Indicators Established

During the Project formulation phase, the following key baseline indicators were established.

Limitations in the Institutional and Policy Framework for Coastal Zone Management

A major driver of increasing vulnerability over recent decades is the prevailing pattern of land use and coastal development and the associated destruction and degradation of the coastal and marine environment. Thailand's coastal areas continue to be governed by multiple and sometimes conflicting laws and policies that have been developed on a primarily sectoral and/or functional basis.

Limited Public Participation in Coastal Zone Decision-Making

Communities, whose immediate well-beings and livelihoods are directly affected by access and availability of coastal and marine resources, often have little involvement in government and private sector decisions concerning the coastal zone. This is partly due to the absence of effective mechanisms to ensure that community views, needs and concerns are taken into account in the development planning process.

Insufficient Knowledge about Climate Change Risks and Adaptation among Local Communities and Governments

Capacity for climate change risk analysis and adaptation planning is also very low among government planners and policy makers at all levels, particularly at provincial and local government levels, including among the line ministry staff dispatched to work within provinces and sub-districts

Weak Inter-sectoral Coordination on Climate Change and DRM

There has been limited coordination between climate change researchers and policy makers from the Office of Natural Resources and Environmental Policy and Planning (ONEP), the national focal agency for UNFCCC, and Disaster Risk Management (DRM) practitioners and policy-makers within the Department for Disaster Prevention and Mitigation (DDPM).

2.5. Main Stakeholders

Project stakeholders spanned from beneficiaries in villages among the three target provinces to officials in governmental ministries.

Execution of pilot, community-based adaptation measures was planned in 10 communities in the provinces of Nakhon si Thammarat, Phatthalung, and Trang. The specific communities were not decided at the time when the Project was approved; they were selected after starting implementation and engaging with the subnational authorities and other local stakeholders.

Implementation was shared among the following partners:

TRCS: The Thai Red Cross Society (TRCS), the largest humanitarian organization in Thailand, was founded in 1893 under the patronage of the Royal Family, and through operating under the governing principles of the International Red Cross and Red Crescent Movement they focus on four core areas:: medical and health care services; disaster preparedness and response; blood transfusion services; and improving the quality of life and providing social welfare services to vulnerable groups.

As the lead implementing partner of the project, TRCS's envisioned role included supervision of all aspects of project implementation, including coordination of the work of other key project partners, notably DDPM and SDF, as well as with all major stakeholders, particularly local communities, community leaders, CBOs and CSOs and the relevant government authorities within the project target provinces and sub-districts through the concerned Red Cross Health Stations, Provincial Chapters and District Branches.

DDPM: DDPM leads the development of a cabinet-approved National Disaster Prevention and Mitigation Master Plan, as well as coordinates relief and compensation efforts for those affected by disasters. DDPM works closely with TRCS at the community level, in capacity building, and delivering training and supplies for emergency preparation.

According to the stakeholder involvement plant, the DDPM would work closely with the TRCS to support implementation of the Project, and DDPM would seek to integrate climate risk reduction and community-based adaptation into their policies and programs.

SDF: The Sustainable Development Foundation (SDF) is a Bangkok-based NGO, originally established in 2000 to support a sustainable natural resource management program funded by the Danish Cooperation for Environment and Development (DANCED). SDF has since continued their work, focusing on promoting sustainable development through ecosystem-based natural resource management. Through SDF's experience and existing networks in the south of Thailand, they were seen as a key implementation partner, along with TRCS and DDPM.

As one of the main objectives of the Project was to mainstream community-based adaptation into subnational planning mechanisms, all levels of subnational authorities were slated to participate during the implementation phase:

- The Office of the Provincial Governor & Provincial Administration Heads at different levels

- *Kor Bor Jor /* Integrated Provincial Administrative Committee (IPAC)
- Provincial Administration Organisation (PAO)
- *Or Bor Tor /* Tambon Administration Organization (TAO)
- *Samakom Or Bor Tor /* Association of Subdistrict Administration
- Communities, Community Leaders and Community Groups

Relevant agencies of the Ministry of Natural Resources and the Environment (MONRE) were included in the stakeholder involvement plan, both at the central and regional level, to support Project implementation. These agencies included the Office of Natural Resources and Environment Policy and Planning (ONEP), the UNFCC focal point in Thailand, and the Department of Marine and Coastal Resources (DMCR), which is responsible for the sustainable management of the country's marine and coastal resources.

With the strong emphasis on subnational planning, one notably missing governmental stakeholder was the Department of Public Works and Town & Country Planning (DPT), Ministry of Interior, which is mandated as the responsible agency for spatial planning in the country.

The Project also planned to engage the Southeast Asia System for Analysis, Research and Training (START), a leader in climate change research in Thailand since 1997, to provide technical support, including delivering training on climate risk analysis and management, and also to participate in the vulnerability and capacity assessments, along with helping on awareness campaigns and other knowledge dissemination activities.

2.6. Budget Breakdown

The project implementation budget was USD 869,091 as shown broken down in **Exhibit 6**, among the four outcomes and separate line items for monitoring & evaluation and project management**.**

Exhibit 6: Project Budget Breakdown

Item	*Prodoc Budget (USD)* *% of Total*
Outcome 1 Increased Climate Risk Knowledge and Awareness	**USD 172,125** 20%
Outcome 2 Increased Climate Risk Management	**USD 356,125** 41%
Outcome 3 Climate Change Adaptation Integration	**USD 105,316** 12%
Outcome 4 Project Knowledge Dissemination	**USD 104,625** 12%
Monitoring & Evaluation	**USD 44,000** 5%
Project Management	**USD 86,900** 10%
Total	**USD 869,091**

2.7. Expected Results

Expected Project results are summarized below.

- Building upon the work being undertaken through the CBDRM programs of DDPM and TRCS and the community empowerment and ecosystem-based development planning promoted by SDF and other local NGOs, the Project aimed to remove existing knowledge and capacity barriers to community-based adaptation planning in three target provinces of southern Thailand.
- Through provision of small-scale adaptation grants, demonstrate how participatory climate risk analysis and planning can contribute to reducing climate change vulnerability and strengthening of resilience among the target communities.
- Within the three target provinces, mainstream community-based adaptation planning and implementation into subnational planning and budgeting procedures.
- Through a series of generated knowledge products, share information on community-based adaptation with the aim of influencing replication in other coastal areas of Thailand.
- As gender was given particular attention in the design of the project, increase capacity of women in the target areas and demonstrate the important role that women often plan in climate change risk reduction.

3. FINDINGS AND CONCLUSIONS

3.1. Project Design / Formulation

3.1.1. Analysis of Logical Results Framework

The Project design was sensible, starting with climate vulnerability and capacity assessments and then assisting communities in prioritizing pilot climate risk reduction measures receiving support through Project-sponsored small grants. After demonstrating the results of these activities, the next step was to engage with sub-district and district authorities in integrating community-based adaptation into sub-national plans and budgets. And finally, knowledge and lessons learned would be consolidated and shared with key stakeholders, to ensure sustainability of Project results.

A few design issues identified by the TE team are discussed below, according to each of the four outcomes.

Project Objective

Working in three separate provinces seemed to be too expansive, considering the Project budget and 3-year time frame. There were some differences in the climate issues in the three provinces, based upon demographic and geographic features, but these differences were not substantial. Concentrating efforts on one district might have yielded better results.

The target of having budget allocation for community based climate risk reduction measures was not sufficiently specific. Indicating a targeted amount of budget to have included and over what time period would have strengthened this objective.

Also, the achieve-ability of influencing the NCCC was low, as this committee is dealing with much larger scope issues.

Outcome 1: Increased Climate Risk Knowledge and Awareness

The target of at least 80% of all TAO members, including all women members, being aware of climate related risks is difficult to measure without having a specific capacity building assessment plan in place.

Outcome 2: Increased Climate Risk Management

The monitoring plan was insufficiently elaborated to support the target of having at least 50% of the communities implementing climate risk reduction measures reporting tangible benefits. Also, it is unclear what the term “tangible” refers to; it should be more specific, e.g., indicating the number of households benefiting from the measure.

Outcome 3: Climate Change Adaptation Integration

There are number of sub-national funding mechanisms, not only the provincial socio-economic development plan available for integrating community-based adaptation measures. The target for this outcome lacks specifics. For example, regional offices of line ministries, such as the DMCR, have the possibility to fund certain interventions. Would such financing be relevant for having at least 50% of the community proposals integrated into provincial development plans?

Also, there seemed to have been insufficient analysis of provincial planning processes in Thailand. For example, it takes 18-24 months for a project at provincial level to be approved by Bangkok-based ministries/departments and the Budget Bureau. The Project design had zero budget allocated for the first year under this outcome. Rather than waiting for the results of outcomes 1

and 2, there should have been concurrent engagement with provincial planners and regional officers from the beginning of Project implementation.

Also, the Project had intentions to combine top-down with bottom-up approaches to integrating community-based adaptation into sub-national planning processes, but the strategy for achieving this was not clearly mapped out. As illustrated below in **Exhibit 7**, development plans are created at each sub-national level, starting from the community plan and working up to the sub-district, district, provincial, and to the provincial cluster plan. These are formulated according to the national development plan and the respective regional development frameworks.

For measures within the funding means of a particular village, then incorporating into the community plan is sufficient. As the scope and costs increase, interventions are considered at sequentially higher sub-national levels. An additional, or alternative, target for the Project might have been integration into district level plans, and not only from community to provincial level.

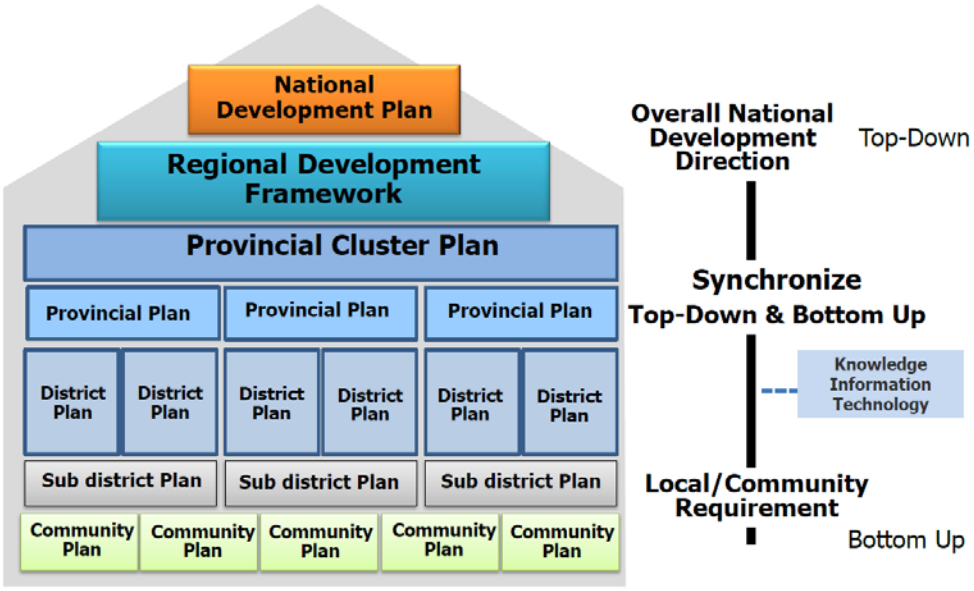

Exhibit 7: Schematic of Regional/Provincial/Local Planning Process[1]

Outcome 4: Project Knowledge Dissemination

Building in some sort of replication into the targets under this outcome would have strengthened the relevance of the knowledge dissemination. For example, sponsoring a national conference on community-based adaptation is a fairly weak measure of successful information sharing. Making the target more specific might have enhanced the likelihood for sustainability of Project results, e.g., by aiming to have one or more government agency mainstream CBA into their programs or policies, or by leveraging funding from one or more donors on further CBA efforts.

3.1.2. Assumptions and Risks

Potential risks were thoroughly examined at the Project formulation stage and recorded in the Project Document, along with mitigation strategies. There was no evidence available to the TE team demonstrating a formal risk management process executed during Project implementation. As outlined below, some of the identified potential risks were indeed realized, and the Project team had variable success at mitigating them.

[1] Features of a Responsible Market Economy and the 11th NESDB, Mr. Thanim Pa-Em, Deputy SG of NESDB, Bangkok, 9 February 2012.

Risk Identified in Project Document	Rating	TE Comments on Risk Management
Project target communities and community leaders do not perceive sufficient value in climate risk planning to invest time and other resources needed to obtain provincial government support and financing for community-based adaptation	Low	Communities were actively engaged during the Project implementation. Indeed, this risk was low, and did not materialize.
Government planners and policy-makers at different levels, including provincial and sub-district authorities do not see climate risk management or community-based adaptation as a development priority or as an important part of DRM and therefore do not approve budgetary allocations for community-based adaptation in their development plans	Medium	Involvement of government stakeholders, both at the national and sub-national levels was fairly low. More active participation might have mitigated this risk and resulted in more policy and program uptake.
Successful project implementation requires good coordination and communication between a diverse range of factors and stakeholders at within and between different levels from villages to the national level.	Low	The Project mobilized and engaged the community level stakeholders efficiently, as both TRCS and SDF have strong experience in community programs. Operationalization of the stakeholder involvement plan, e.g., role of DDPM, constrained coordination among different government levels.
Changes in national government may result in new policies and re-structuring of government departments and operations that may have adverse implications for the delivery of planned project results	Medium	There were a number of changes in government officials during the lifespan of the Project, including after the 2011 general elections. This did impede Project performance, and there was no evident deliberate risk mitigation measure implemented.
DDPM does not endorse project recommendations for integrating climate change risks into its next Master Plan by the end of the project	Low	Again, limited implementation role assigned to DDPM constrained integration of climate risks into DDPM's next master plan. Limited evidence of management measures implemented to mitigate this risk.
Communities are unable to work cooperatively to prioritize adaptation interventions for implementation with project support	Low	Communities effectively networked and cooperated on joint climate risk reduction measures.
Small-scale investments in community-based adaptation are not able to generate demonstrable climate risk reduction benefits within project timeframe	Medium	This risk was partly proven correct, but there was also limited monitoring and consolidation of results to demonstrate benefits realized.
Meaningful scientific and technical analysis of demonstrated adaptation measures is possible within the available timeframe and budget.	Low	The general weak monitoring and reporting of results restricted the level of analysis that was feasible to carry out within Project timeframe.

Risk Identified in Project Document	Rating	TE Comments on Risk Management
Communities lose confidence and interest in small-scale community based adaptation as a result of extreme weather events or other natural disasters and prefer more immediate interventions by government to safeguard them against climate and other disaster risk	Low	There were significant flooding in 2011, but this event probably increased awareness rather than reduced confidence among stakeholders on the benefit of community-based adaptation.
Knowledge and lessons are not systematically captured, analyzed or documented throughout project implementation	Low	The October 2013 was a constructive information-sharing event regarding Project results and recommendations. But, as mentioned earlier, this risk was not efficiently mitigated, as generally low emphasis placed on monitoring and documenting/capturing lessons learned.

3.1.3. Lessons from other Relevant Projects

The Project benefited from lessons learned on previous and concurrent interventions, including:

- Mangroves for the Future (Small Grant Programme)
- Poverty and Environment Initiative (Mainstreaming Climate Change into Provincial Development Plan)
- Southern Thailand Empowerment and Participation (Strengthening Capacity of Local Resources and Disasters Risk Management)
- TRAC Resources 2010 (Climate Resilience and Risk Reduction)

3.1.4. Planned Stakeholder Participation

The memorandum of understanding signed in 2010 among TRCS, SDF, and SEA-START formalized participation among these key implementing partners and technical advisor. The operationalization of this MOU resulted in a diminished role of TRCS in two of the three provinces, those that SDF managed the coordination: Phatthalung and Trang. Although understandable that SDF had comparative advantages through their networks and previous experience in these provinces, TRCS had virtually no participation in those areas during the implementation phase, apart from some joint trainings.

The role of SEA-START also did not match the intended role for them. During the first year, they were reportedly more engaged, delivering trainings and supporting the vulnerability and capacity assessments. But after their former director left in the first year, the organization's function shifted to providing support in the form of knowledge products, such as weather maps, but not actively providing technical advisory services.

The participation of DDPM also was limited to participating in workshops, core team meetings, and also at the subnational level through their regional offices. With no specific implementation role assigned to them, they ended up not having a very active role in the Project.

The ONEP also participated more in the form of an observer. As the UNFCCC focal agency and implementing partner for the GIZ project on climate change policy support, Project results might have been enhanced with a more active involvement from this stakeholder.

The Project was successful in creating provincial steering committees in Nakhon si Thammarat and Phatthalung provinces, and utilizing the existing role that Save Andaman Network (SAN) had in the natural resource provincial sub-committee in Trang province. The committees met only a few

times per year, an insufficient frequency to build rapport with provincial planners and regional subnational stakeholders. It might have been more efficient to assign more of a coordination role to designated officers in each of the three provinces.

3.1.5. Replication Approach

The Project design effectively factored in replication potential, particularly by aiming to incorporate climate change adaptation into subnational development plans. Also, by focusing on low-cost and locally appropriate measures, there would be a good chance of replication in the target communities, or even in other coastal areas in the country. As the realization of replication objectives is largely dependent upon how efficient information dissemination is executed, there were plans to organize workshops, a national forum on community-based adaptation, and also resources were allocated to share information on national and international websites, including the UNDP Adaptation Learning Mechanism (ALM).

The Project design also had deliberate replication goals through the capacity building efforts. For example, there is a high chance of achieving replication through increased institutional knowledge of the involved stakeholders, including the TRCS, DDPM, SDF, and other NGOs and government authorities participating in the Project, as these organizations could facilitate implementation of similar interventions on other projects and programs they are engaged in.

3.1.6. UNDP Comparative Advantage

The UNDP comparative advantage in the implementation of the Project lies in their extensive experience working in Thailand and their favorable standing among Thai national stakeholders. Furthermore, UNDP has a significant track record of global cooperation with GEF, in the areas of capacity building, technical and policy support, as well as expertise in project design and implementation. UNDP's global reach in advocacy for human development is closely aligned with the Project focus on vulnerable coastal communities.

The Project was also designed to build upon past projects and complemented a number interventions supported by UNDP, including facilitation of a small grants program that works directly with communities throughout the country, and support in the implementation of the Second National Communication on Climate Change. Additionally, at a regional level, UNDP's extensive experience in leading climate change and disaster risk reduction projects throughout the Asia and the Pacific provides them a strong comparative advantage in application of innovative solutions and practical knowledge on lessons learned in other areas with similar geographic and institutional conditions.

3.1.7. Linkages between Project and other Interventions

The Project formed a complementary linkage with the EU-funded project entitled "Building Coastal Resilience to Reduce Climate Change Impact in Thailand and Indonesia (BCR CC)", implemented by CARE Deutschland-Luxemburg e.V. in cooperation with Raks Thai Foundation. The scope and timeframe of the two projects were similar, so there synergies could be capitalized on, through joint seminars, for example.

GIZ is also implementing a Climate Protection Policy Project, financed under the International Climate Protection Initiative (ICI) of the German Federal Ministry of Environment, Nature Conservation and Nuclear Safety (BMU). This policy advocacy and capacity development project is being implemented in collaboration with the ONEP, and covers 16 provinces in Thailand. This second phase of the GIZ project, with support of the provincial action plans, started toward the end of 2013, and, hence, no linkage could be made with the subject Project, beyond information

sharing and touching base as opportunity arose. ONEP officials indicated to the TE team that they will try to build upon at least one of the Project's pilot project through the auspices of the GIZ project.

Through the Regional Grant Facility of Mangroves for the Future (MFF), UNEP is implementing the project "Strengthening the Resilience of Coastal Communities, Ecosystems, and Economies and to Sea-Level Rise and Coastal Erosion", which aims to develop practical knowledge in climate change adaptation by prioritizing interventions that strengthen resilience of ecosystems and communities to coastal erosion, in Pakistan and Thailand. The 2-year project runs from 1 January 2013 until 31 December 2014. There were limited opportunities linking up with this intervention, as the start date was in the last year of the Project implementation. As, one of the two MFF[1] geographical priority areas in Thailand is on the Gulf of Thailand coast, extending down to Nakhon Si Thammarat, there might be a prospect of running the UNEP pilot intervention in one of the areas targeted on the Project in this province.

3.1.8. Management Arrangements

The Project was executed through the UNDP Country Office in Thailand in a NGO implementation modality, with TRCS acting as lead implementing partner, under the management structure illustrated below in **Exhibit 8**.

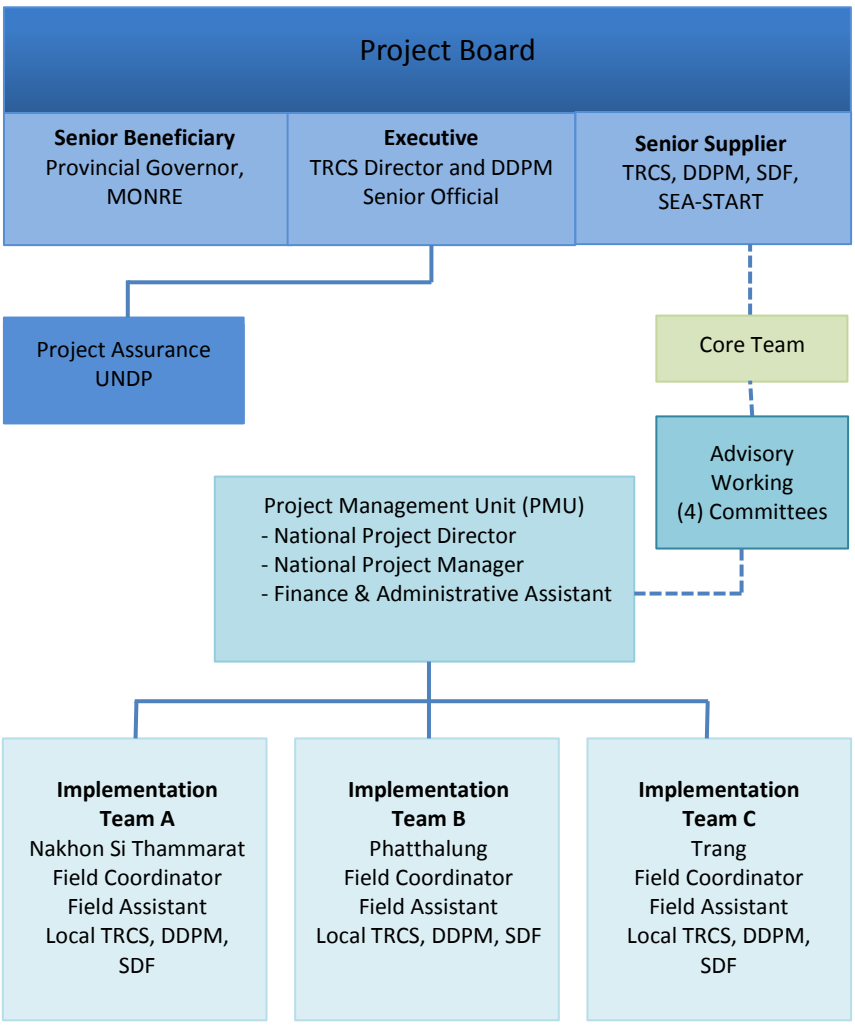

Exhibit 8. Project Management Structure[2]

[1] http://www.mangrovesforthefuture.org/countries/members/thailand
[2] Project inception report, 2011.

A project management unit was embedded in the TRCS Relief and Community Health Bureau (RCHB) in Bangkok and included a project manager, a project assistant, and a financial manager. There were delays in recruiting a project manager, the first hired in early 2011, after the inception phase and first Project Board meeting, held on 7 December 2010. The first project manager, Ms. Ms. Sumon Sangkaew, joined the project in April 2011 and stayed in the position for approx. 6 months, resigning in October 2011 due to a personal reason. The second project manager, Ms. Kanokporn Charoenrith started in February 2012; roughly 4 months after the first manager left her post. This gap came at a critical time, when vulnerability and capacity assessments were being finalized and proposals for pilot climate change risk reduction actions were being reviewed. Ms. Charoenrith left her position in November 2012, and Ms. Jarintip Kaewklam, the former field coordinator has worked as acting project manager, based in the TRCS station No. 12 office, since early 2014 to see through project closure.

In Nakhon si Thammarat province, the TRCS regional station No. 12 was tasked with Project coordination and the project supported one full-time field coordinator and a field assistant coordinator. In the other two provinces, SDF supervised Project implementation and utilized NGOs who were actively present in these areas for coordination support; Save Andaman Network (SAN) coordinated the work in Trang province, and the Friends of Phatthalung Rivers coordinated the activities in Phatthalung.

The Project Board, consisting of the director of the TRCS-RCHB, a senior official of DDPM, the national project director (nominated by TRCS-RCHB), the director of SDF, UNDP CO staff, and provincial governors or their officials in the three target provinces. The board met roughly twice per year during the 3 year implementation time period.

During the inception phase, four different advisory committees were planned to support the Project: 1) Risk Analysis and Capacity Building Working Committees, 2) Community-Based Adaptation Working Committees, 3) Policy Analysis and Revising Working Committees and 4) Knowledge Management, Learning and Dissemination Working Committees. These committees were eventually not formed, as the team decided that most salient issues were being handled in the quarterly core team meetings.

3.2. Project Implementation

3.2.1. Adaptive Management

Overall, there was limited evidence of adaptive management. The Project team did recognize that there was a generally low level of "additionality" in the CCA action plans, as compared to business-as-usual approaches, and as corrective action, a workshop facilitated by the Project technical partner SEA-START was organized and a consultant was recruited to help better differentiate the implemented measures[1]. The issue of additionality remains a concern at project closure, however.

The mid-term review was made very late in the process, approximately 6 months before project closure, so there was essentially little that could have been changed at that point.

As a result of the devastating floods in 2011, many of the key governmental stakeholders were occupied with disaster relief efforts and could not fully engage with Project activities. There were no adjustments made to the implementation of Project due to these extraordinary circumstances, because the team was mostly working through operational challenges during that timeframe.

[1] 2013 Annual Project Review / Project Implementation Report

3.2.2. Partnership Arrangements

The Project formed a constructive partnership with the complementary EU-funded project entitled "Building Coastal Resilience to Reduce Climate Change Impact in Thailand and Indonesia (BCR CC)", implemented by CARE Deutschland-Luxemburg e.V. in cooperation with Raks Thai Foundation. In collaboration with Raks Thai Foundation, the Project team organized the 1st International Coastal Forum Building Resilience to Climate Change in Coastal Southeast Asia in 2012. Also, the team organized a meeting with representatives from Plan International to exchange information of this project and their adaptation project working to support community adaptive capacity in Chiang Rai and Chiang Mai Provinces, in Northern Thailand.[1]

3.2.3. Feedback from M&E Activities used for Adaptive Management

Feedback from M&E activities was mostly followed up through the PIRs/APRs and regular interaction among the UNDP, the lead implementing partner, and key responsible parties during quarterly core team meetings. Project Board meetings, which were held generally twice per year, were also venues for discussion adaptive management measures.

3.2.4. Project Finance

Information regarding realization of co-financing is largely based upon testimonial evidence obtained during the TE mission. There were no monitoring systems in place for tracking and recording co-financing contributions. Although there was no hard evidence of co-financing from the TRCS and DDPM, based on testimonial evidence from these two partners and documented evidence from the other co-financing partners, the total amount of co-financing that materialized is consistent with the amounts committed, as tabulated below in **Exhibit 9**.

[1] 2012 Annual Project Review / Project Implementation Report

Exhibit 9: Co-Financing Table									
Co-Financing Source	Type	UNDP (USD)		Government (USD)		Other Sources (USD)		Total Co-Financing (USD)	
		Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
UNDP:									
Mangroves for the Future (Small Grant Programme)	Parallel	$149,822	$149,822					**$149,822**	**$149,822**
Poverty and Environment Initiative (Mainstreaming Climate Change into Provincial Development Plan)	Parallel	$83,000	$83,000					**$83,000**	**$83,000**
Southern Thailand Empowerment and Participation (Strengthening Capacity of Local Resources and Disasters Risk Management)	Parallel	$300,000	$300,000					**$300,000**	**$300,000**
TRAC Resources 2010 (Climate Resilience and Risk Reduction)	Parallel	$20,000	$20,000					**$20,000**	**$20,000**
Government: Department of Disaster Prevention and Mitigation (DDPM), Ministry of Interior:									
Budget allocation of 3 target provinces for activities in disaster prevention and mitigation (2010-13)				$871,950	$871,950			**$871,950**	**$871,950**
TRCS:									
TRCS Budget for CBDRM 2009-2013	Parallel					$1,700,000	$1,700,000	**$1,700,000**	**$1,700,000**
Contribution of Staff Time, Office Space, and Communication Devices	In-Kind					$92,950	$92,950	**$92,950**	**$92,950**
SDF:									
Mangroves for the Future (SDF implementation)	Parallel					$300,000	$299,990	**$300,000**	**$299,990**
Service Center for Development Cooperation (KEPA) Project	Parallel					$39,000	$39,000	**$39,000**	**$39,000**
Contribution of Office Space and Communication Devices	In-Kind					$20,000	$20,000	**$20,000**	**$20,000**
Others:									
Global Gender and Climate Alliance (GGCA)	Cash					$0	$26,900	**$0**	**$26,900**
	Total	**$552,822**	**$552,822**	**$871,950**	**$871,950**	**$2,151,950**	**$2,178,840**	**$3,576,722**	**$3,603,612**

Notes:
UNDP: Based upon testimonial evidence from Ms. Sutharian Koonphol, 18 March 2014 and documentary evidence included in 2013 PIR.
DDPM: Based upon testimonial evidence during interview with Mr. Mr. Chainarong Vasanasomsithi, Director Research and International Cooperation Bureau, 17 March 2014.
TRCS: Based upon testimonial evidence provided by Dr. Lt. Gen. Dr. Amnat Barlee, Director Relief and Community Health Bureau, 19 March 2014.
SDF: Based upon documentary evidence provided by Ms. Ravadee Prasertcharoensuk, Director, 27 March 2014 (e-mail with supporting files).
GGCA: Documentary evidence obtained from 2012 PIR.

Of the USD 3,576,722 of committed co-financing, 3% was in-kind contributions and 97% was in the form of parallel project financing. An additional amount of USD 26,900 was leveraged during Project implementation from the Global Gender and Climate Alliance (GGCA), in form of cash contribution to support the community vulnerability and capacity assessments.

The actual proportion of money spent among the four Project outcomes was quite similar to the planned distribution outlined at the design phase, as shown below in **Exhibit 10**.

Exhibit 10: Comparison of Planned vs. Actual Expenditures									
Component	Total		Year 1: 2011		Year 2: 2012		Year 3: 2013		Year 4: 2014
	Prodoc Plan	Actual Expend.*	Prodoc Plan	Actual Expend.	Prodoc Plan	Actual Expend.	Prodoc Plan	Actual Expend.	Plan
Outcome 1	$172,125	$160,069.30	$141,062	$95,284.02	$31,063	$44,291.47	$0	$20,493.81	$0
Outcome 2	$356,125	$359,933.51	$116,500	$56,083.08	$173,625	$214,306.61	$66,000	$89,543.82	$25,000
Outcome 3	$105,316	$78,931.72	$0	$0	$66,253	$24,455.65	$39,063	$54,476.07	$19,000
Outcome 4	$104,625	$79,097.93	$8,000	$10,601.50	$8,000	$7,284.00	$88,625	$61,212.43	$10,000
M&E	$44,000	$48,812.32	$5,000	$23,817.85	$17,000	$5,489.31	$22,000	$19,505.16	$0
Project Management	$86,900	$90,956.11	$29,700	$7,535.99	$29,100	$46,260.15	$28,100	$37,159.97	$0
Total	**$869,091**	**$817,800.89**	**$300,262**	**$193,322.44**	**$325,041**	**$342,087.19**	**$243,788**	**$282,391.26**	**$54,000**

*Through 31 December 2013

A few issues are, however, indicative in the above-listed cost breakdown. The Project was approved on 22 June 2010, but there were no expenditures in that year. Although the project was

approved in June of that year, the project document was signed only in November 2010. This delay was due to:

1. The UNDP Environment Unit was restructured during this time period, leaving only one programme officer in position during June-July 2010;
2. The Local Project Appraisal Committee could therefore only be convened in August 2010;
3. The project document signature was also delayed, as it needed to be passed through the Ministry of Foreign Affairs, due to Article 190 of the constitution adopted at this time.

Based upon the meeting minutes from the first Project Board meeting on 7 December 2010, it seems as there was no project manager in place at this time; thus, assembling the project team took more than a half a year to arrange, as it was not possible to advertise for a project manager until November 2010, when the project document was finally signed. In fact, the delays seemed to have been more extensive, as there was only USD 7,356 expended on Project Management in 2011. Contrastingly, the amount of money spent on monitoring & evaluation in 2011, USD 23,818 was considerably more than the USD 5,000 planned. The discrepancy was mostly due to the cost of a policy forum held in December 2010 (paid in 2011), which was at a time before the project was set up, and also before the lead implementing partner had set up a bank account for the project.

During the second year of implementation, 2011, the country was struck by devastating floods, starting in July and extending into December of that year. The Project did a good job adapting to these extraordinary circumstances, as the national and regional stakeholders involved in disaster risk management were undoubtedly occupied with other issues during this time period.

The fact that no expenditures were planned or spent under Outcome 3 (Climate Change Adaptation Integration) is reflective of a design shortcoming. Waiting until vulnerable assessments and community action plans were ready before engaging with provincial planners is partly understandable; as it is easier discuss specific proposals. However, over a 3-year project, leaving one year without activity under this component is an over-estimation of efficiency of the project team in engaging with subnational planning authorities.

3.2.5. Monitoring & Evaluation

Monitoring & Evaluation design at entry is rated as: Satisfactory

The monitoring & evaluation (M&E) plan was reasonably extensive, starting with the inception report and workshop, outlining the type and frequency of progress reporting, and including independent auditing and evaluation. The total indicative cost for Project M&E was 44,000 USD, which is approx. 5% of the total implementation budget. This cost level is within generally acceptable ranges, typically 3-5% of total cost.

Monitoring metrics were not formulated to effectively capture performance targets, however. For example, there was a target that at least 80% of all TAO members, including all women members, are aware of climate-related risks and the development benefits of community-based adaptation, but there was no indication of how the awareness would be measured, when the monitoring would take place, and who was responsible for the monitoring and reporting on results. The plan did emphasize that M&E details would be sorted out during the inception phase of the project. Although this is sensible, as there are often changed circumstances by the time a project actually starts implementation, the evaluation team feels that the M&E plan should

contained more specifics regarding defining monitoring metrics and frequency of monitoring activities at the outcome level.

Monitoring & Evaluation implementation is rated as: Moderately Satisfactory

M&E during Project implementation did not seem to be a priority for the Project team or the board. As outlined earlier, there were a number of non-specific targets within the logical results framework, but no adjustments were made at the inception phase or later on during implementation.

The mid-term review was carried out in June 2013, only 6 months before the end of the 36-month project. Significant adjustments could not have been expected at such a late stage in the Project, thus seriously reducing the usefulness of the mid-term evaluation.

Monitoring of Project results is also considered to have been somewhat weak. For instance, the TE team had difficulties verifying many of the Project results, which were largely based upon testimonial evidence only, particularly with respect to commitments made by subnational authorities to integrate climate change adaptation measures in provincial plans and budgets.

Annual work plans also did not include strategies on how performance indicators and targets are addressed in the planned activities, i.e., not sufficiently focusing on results, but rather more on activities. There was also no evidence of an exit strategy being prepared, to set out arrangements for post-closure monitoring and other activities that would help ensure the sustainability of Project results.

3.2.6. UNDP and Implementing Partner Implementation / Execution

Quality of UNDP Implementation is rated as: Satisfactory-Moderately Satisfactorily

UNDP CO staff and the GEF regional technical specialist in APRC were proactive and provided regular support to the Project management team and implementing partners. Supervising a Project under a NGO implementation modality offered some challenges, as compared to NIM or DIM projects. Also, this project was the first time the UNDP CO had worked with TRCS.

One constraint was the generally uncoordinated and inconsistent technical support. There seemed to have been an over-estimation of the role of SEA-START, which the UNDP understood would provide technical advisory services, while in fact, their role was fairly limited, mostly delivered in the form of knowledge products. Although there were recommendations made by UNDP staff to hire a full-time technical advisor, the suggestion was not followed, resulting in fairly inconsistent technical oversight, e.g., proposals for pilot climate risk reduction measures seemed to have been evaluated on fairly arbitrary criteria, and not necessary on scientific merit or upon a critical technical review.

UNDP organized a project cycle management training in 2011, when 3 TRCS members and 1 SDF member joined. TRCS members and project management unit staff also participated in the FACE FORM training on two occasions. However, UNDP should have been more proactive to ensure that the TRCS staff members, including the Project management unit were regularly trained, not only in climate change adaptation but also in project management procedures that are expected from a lead implementing partner on such a project.

The NGO implementation modality is not a typical arrangement for the UNDP, as most of their projects have been implemented under NIM or DIM. This was compounded by the fact that the implementation duties were shared between TRCS and SDF which were formalized in a memorandum of understanding between these two agencies and also SEA-START. This MOU

seemed to diminish the role of the lead implementing partner, TRCS, in two of the three target provinces. There was limited cross-province collaboration during the Project implementation, apart from some joint training events, and the TRCS coordination staff indicated that they were infrequently informed of activities in the two provinces where SDF was facilitating the work. In the opinion of the TE team, the UNDP should have ensured that roles and responsibilities were more efficiently operationalized.

Project reporting was found to be thorough and realistic, e.g., internal ratings in the APR/PIRs were mostly consistent with the TE ratings.

Quality of Implementing Partner Execution is rated as: Moderately Satisfactorily

Interest within the TRCS organization regarding the Project seemed to have been quite high, at the regional level, based upon interviews during the TE mission. But there was considerable evidence of low ownership within the agency as a whole. TRCS is very large, with some 8,000 staff, and procedures are highly centralized. Integrating a project into such an organization having several responsible parties and a scope that does not closely match TRCS's core activities was a daunting task. This was, for example, evident in their rigid personal appraisal system, which could not be accommodate the field coordination staff who needed to shift away from their normal nursing duties to work on the project. Their performance was only measured based upon their nursing work, and they were essentially demoted because of their Project work.

The start of the Project was also delayed 3 months due to delay in project document signature by the General Secretariat of the TRCS, as well as by other partners.[1]

The vast majority of TRCS staff members have health-care backgrounds, and most of the regional professionals are nurses. They do have extensive disaster preparedness and relief experience, but very little background in climate change adaptation and subnational planning. From this starting point, assigning lead implementation to them was a bit unreasonable, particularly considering that there were very little efforts made to strengthen their capacity in CCA.

The project management unit was also inefficiently integrated into the TRCS organization. For example, the field team was based in the TRC Region 12, which is under the Field Station Bureau in the headquarters in Bangkok, while the PMU was attached to the Relief and Community Health Bureau (RCHB). Administrative bureaucracy between these two units was cumbersome at times, sometimes resulting in delays in issuing approvals for Project activities, and also consumed significant amounts of time of PMU staff, leaving them less time to work on more substantive Project concerns.

In summary, while the management of RCHB had full ownership of the Project, project implementation faced administrative constraints due to the fact that not all units in TRCS were involved in the operation of this project and did not have the same recognition of the Project.

3.3. Project Results

3.3.1. Achievement of Objective and Outcomes: Effectiveness

The achievement of the project Objective and Outcomes is rated as: Moderately Satisfactory

The level of achievement of the project objective and outcomes was evaluated by assessing the progress made toward realizing the targets on the indicators set out in the logical results

[1] 2012 Annual Project Review / Project Implementation Report.

framework. Analysis of completed work is detailed in the matrix compiled in Annex 6, and outlined below.

Indicator	Baseline	Target
Project Objective: To integrate the climate change vulnerabilities and adaptation options of coastal communities into development planning processes in three provinces of southern Thailand		
Number of community climate risk reduction proposals mainstreamed into the Provincial Development Plans and endorsed by the Integrated Provincial Administrative Committee (IPAC)	0	At least 10 priority community climate risk reduction proposals integrated into the Provincial Development Plans of the 3 project target provinces and endorsed by their IPAC
Number of Provincial Action Plans with committed budget for community-based climate and disaster risk reduction	0	At least 3 Provincial Action Plans include a budget allocation for community-based climate and disaster risk reduction
Number of national policies that support the integration of community-based adaptation into provincial development planning	0	Community-based adaptation is strengthened at the provincial level through at least one major national policy as follows:
		DDPM endorses recommendations developed through the project for integrating climate change risk reduction and community-based adaptation into its next Master Plan, and/or
		the National Committee on Climate Change (NCCC) develops guidelines based on project results and recommendations for operationalizing the adaptation pillar of the national climate change strategy at the provincial level

Overview:

The Project was successful demonstrating bottom-up empowerment at villages and sub-district level, at integrating community-based adaptation into local plans. Capacities of community groups and local authorities were strengthened through analysis of climate risks and implementation of locally appropriate adaptation measures.

There were insufficient resources and emphasis focused on top-down participation of national and provincial level planners and agency officers. This shortcoming was partly due to limited capacity of the lead implementing partner, TRCS, regarding provincial planning and also with respect to climate change adaptation. TRCS has widespread experience in Thailand, but mostly in the form of delivering community support in emergency preparedness and relief.

Also, there was no evidence available demonstrating DDPM will integrate community-based integration into their next master plan on disaster prevention and mitigation. Again, as no specific implementation role was assigned to the DDPM, their engagement in the project was restricted to a few people, and irregularly, e.g., at core team meetings, workshops, etc.

Indicator	Baseline	Target
Outcome 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities		
Number of Community Climate Risk Reduction Action Plans prepared that reflect the differential vulnerabilities of different sections of society, particularly women	0	At least 10 Community Climate Risk Reduction (CRR) Action Plans prepared based on participatory, gender-sensitive climate change VCAs
Proportion of TAO members, including women members, with increased understanding of climate-related risks and the development benefits of adaptation	0	At least 80% of all TAO members, including all women members, are aware of climate-related risks and the development benefits of community-based adaptation

Major Achievements:

- The project successfully supported target communities in leading participatory vulnerability and capacity assessments and developing 28 CCR action plans.
- Based on interviews and focus group discussions during the TE mission, community group representatives and village and sub-district leaders demonstrated working knowledge of climate change risks and approaches to reducing vulnerabilities.
- Also, based on TE mission findings, active involvement by women was demonstrated in each of the three target provinces.

Shortcomings:

- Coordination of the vulnerability and capacity assessments were inconsistent among the 3 provinces, e.g., TRCS had very little knowledge of the processes in the provinces of Phatthalung and Trang.
- Technical support was also inconsistent and uncoordinated, with respect to supervising and interpreting the results of the VCAs and formulation of climate risk reduction action plans. For example, most of the proposed/approved climate risk reduction actions were "business-as-usual" interventions, such as canal dredging, with a low level of "additionality".

Indicator	Baseline	Target
Outcome 2: Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities		
Number and impact of priority climate risk reduction measures being implemented by target communities	0 (to be confirmed during the VCAs)	Up to 10 target communities implementing at least one priority climate risk reduction measure identified in their Climate Risk Reduction Action Plans (Outcome 1) and at least 50% of communities report tangible benefits as a result
Number of community-based adaptation measures evaluated for their effectiveness and long-term potential	0	Scientific and technical assessments of at least 2 community-based adaptation measures implemented through small-scale project adaptation grants (Output 2.1)

Major Achievements:

- 28 CCR action plans implemented in 11 villages with a combined total of 159,454 USD in grant support, and benefiting an estimated 18,816 households:

Province/ Sub-district	Village	No. of HHs benefited	CBA proposals	Grant Value
Nakhon si Thammarat:				
Tha Sala	Ban Nai Thung	766	CBDRM training	$21,000
			Mud dredging along coastlines	$12,000
			Research on mud/sediment management	$17,000
Laem Talumphuk	Village 1	389	Life jacket production training and enterprise	$5,300
			Erection of village-level early warning towers and sirens and community training	$4,200
	Village 2	206	Dredging of waterways for evacuation of boats during storms	$17,000
	Village 3		Dredging of waterways for evacuation of boats during storms	$20,000
	Village 2&3		Erection of village-level early warning towers and sirens and community training	$3,600
			Life jacket production training and enterprise	$5,600
			Alternative livelihoods and food security measures from mangrove rehabilitation	$2,800

Province/ Sub-district	Village	No. of HHs benefited	CBA proposals	Grant Value
Phatthalung:				
Jongthanon (downsream)	Villages 1,3,4,5	1,094	Mangrove plantation along shoreline of Songkhla Lake	$3,300
		56	Establishment of a fishing gear revolving fund	$1,666
		13	Climate-resilient/alternative rice production techniques	$5,404
		20	Water management by community	$1,083
		1,100	Jongthanon Community Zoning/Mapping	$1,166
		Whole community	Improved radio network that connects upstream and downstream villages to mitigate the impacts of flashfloods (the entire river basin)	$2,350
Napakhor (midstream)		20	Climate-resilient/alternative rice production techniques	$5,420
		6,921 In 3 subdistricts	Participatory water management in Tachied water basin	$2,313
		Whole community	Improved radio network that connects upstream and downstream villages to mitigate the impacts of flashfloods (the entire river basin)	$933
Tamod (upstream)	Villages 4,9,12	82	Forest and watershed management to mitigate the risks of floods	$4,000
		740	Improved radio network that connects upstream and downstream villages to mitigate the impacts of flashfloods (the entire river basin)	$2,790
Trang:				
Mod Tanoi	3	40	Promotion of alternative livelihoods (food processing, boat repair shop, etc.)	$2,000
	3	40	Community zoning/mapping	$666
Koh Mook	2	219	Promotion of alternative livelihoods (food processing, batik clothes)	$1,333
	2	120	Establishing an organic fertiliser fund	$1,933
	2	513	Community zoning/mapping	$ 1,000
	2	90	Water conservation and catchment techniques	$1,666
Koh Libong	2	513	Aquatic nursery /coastal afforestation	$1,933
	2	200	Preservation of watershed/forest to mitigate risks of floods	$1,666
	2	200	Shoreline protection	$3,333
	2	200	Promotion of alternative livelihoods (seafood processing, ecotourism)	$1,333
	2	200	Establishing an organic fertiliser fund	$1,933
	2	200	Improving local radio network	$1,733
Totals:		**est. 18,816 HHs**		**$159,454**

- The watershed approach implemented in the Tachied River communities serves as a good practice on how community adaptation measures and improved stakeholder communication/collaboration can have ecosystem-scale benefits.
- Traditional knowledge of the target communities was leveraged through the community adaptation interventions; e.g., the shoreline protection (mangrove rehabilitation) in Koh Libong.

Shortcomings:

- The climate change relevance of some of the approved actions is questionable.
- The implemented action plans have not yielded sufficient information to allow a detailed scientific and technical assessment.

Indicator	Baseline	Target
Outcome 3: Integration of climate change adaptation into provincial development plans and sector policies		
Number of priority community climate risk reduction proposals financed through provincial government budgets	0	At least 50% of proposals submitted by target project communities integrated into Provincial Development Plans and financed through the Provincial Action Plans

Major Achievements:

- The Project was successful in facilitating signatures of provincial governors in the target provinces appointing provincial level committees (in Nakhon si Thammarat and Phatthalung); this is evidence of awareness and commitment from provincial leaders. In Trang province, Save Andaman Network (SAN) used their existing representation on the provincial natural resources sub-committee for Project related issues.
- Through participation on these Project committees, the involved provincial planners and officers from regional agencies became informed of community-based adaptation issues and measures for reducing vulnerabilities.
- Capacity building of village heads and sub-district authorities better enable these stakeholders to champion mainstreaming community-based adaptation in provincial planning and budgeting processes.
- The Trang Provincial Plan contains two complementary adaptation measures:
    1. A crab bank is financed with 400,000 THB (approx. 12,000 USD) annually over the period 2015-17, under the Coastal Fishery Development Research and Development Center; and
    2. Rehabilitation of coastal areas with THB 200,000 (approx. 6,000 USD) annually for 4 years from 2015; implemented under the Provincial Natural Resources and Environment Office.

Shortcomings:

- Design shortcoming: No budget was allocated for the first year of the Project for this outcome; this represents a misunderstanding and or over-estimation of the provincial planning and approval processes.
- Design and implementation shortcoming: There was an insufficient strategy on how community-based adaptation measures would be integrated to provincial plans, e.g., there are at least three funding mechanisms available for community development, and while sub-district planning was supported, there was no evidence of involving district level planners.
- There was limited involvement of national and sub-national governmental stakeholders. In order to achieve the target of integrating community development issues into provincial plans, there should be a proportionate amount of resources focused on top-down participation.

Indicator	Baseline	Target
Outcome 4: Project knowledge captured, disseminated and replicated through dedicated follow-up activities		
Number of dedicated follow up activities to systematically document and disseminate project knowledge and lessons learned	0	Project knowledge and lessons learned shared nationally and internationally through the following minimum number of activities:
		a) one analytical paper documenting key lessons learned, including the current and potential role of women in CBA, with recommendations for integrating CBA into decentralized development planning in Thailand
		b) 1 national conference on CBA in Thailand
		c) at least 8 field visits to project demonstration sites by target and non-target communities in the target provinces to

Indicator	Baseline	Target
		promote cross-community learning
		d) project knowledge and lessons learned disseminated through at least 2 national websites and 2 international climate change adaptation platforms

Major Achievements:

- The Project sponsored a national forum on community-based adaptation in October 2013 which was attended by 200 people representing 23 organizations. Six (6) sets of recommendations were formulated by the forum participants, and ONEP officials indicated to the TE team that they will consider these suggestions when drafting their climate change action plan, expected to be made later this year after the 2013-50 master plan is approved by the government.
- Cross-community collaboration was effectively accomplished in Phatthalung province, among community groups based in the upstream, mid-stream, and down-stream reaches of the Taichid River. Through joint vulnerability and capacity assessment, the groups developed a series of locally appropriate adaptation measures based upon a watershed management approach.
- Through knowledge dissemination efforts, the Project was able to leverage interest from both the private sector, such as the SCG Foundation in Trang province which has reportedly committed to constructing additional check dams on Muk Island.
- Also on Muk Island, the Department of Marine and Coastal Resources has reportedly planning on spotlighting this area as a model in sustainable development, using traditional methods to rehabilitate mangroves.

Shortcomings:

- Limited analysis made on lessons learned, including role of women in community-based adaptation. This seemed partly due to the generally weak monitoring of results, i.e., not sufficiently consolidating benefits of climate risk reduction measures that could support wider integration into provincial planning.
- The project website and the UNDP Adaptation Learning Mechanism contain information about the Project but they are not updated. There were limited resources used to keep these sites current, and no evidence of post-closure arrangements with other national or international websites to host Project information.

3.3.2. Relevance

Relevance is rated as: Relevant

The Project is relevant across a wide spectrum of criteria. Firstly, the interventions supported by the Project are aligned with the 11th National Economic and Social Development Plan (2012-2016)[1], particularly the Strategy on Managing Natural Resources and Environment toward Sustainability. The objectives under this strategy include: (1) to conserve and, when necessary, restore natural resources and the environment so they are sufficient to stabilize the ecosystem and provide a firm foundation for the country's development; (2) to promote production and consumption that is environmentally sound in order to redirect the country toward a low carbon

[1] Office of National Economic and Social Development Board (NESDB): "11th National Economic and Social Development Plan 2012-2016", Bangkok

emission society; (3) to create resilience so as to be prepared to deal with impacts from climate change and worldwide environmental issues; and (4) to create fairness in access to and utilization of natural resources, and to protect benefits that the country receives from international agreements and commitments.

The Project was also grounded in the Royal philosophy of the "Sufficiency Economy", which has as its overarching goal the achievement of economic, social and environmental balance as the foundation for sustainable human development. Resilience is one of the key principles of the Sufficiency Economy.

Supporting integration of climate change adaptation within sub-national planning processes is consistent with the political developments in Thailand in the past several years with respect to decentralization efforts. Under the State Administration Act of 2007 and the Integrated Provincial Planning and Clustering Decree of 2008, sub-national administrative bodies have been assigned a certain degree of autonomy and discretion with respect to development planning and budgeting.

Under the United Nations Partnership Agreement Framework (UNPAF) for 2012-16 for Thailand, there are two components closely aligned with the objectives of the Project; namely:

Component 2: Human Rights and Access to Justice

Outcome 3: Vulnerable groups in Thailand increasingly legally empowered and protected

Outcome 4: Substantive gender equality norms and standards are recognized and mainstreamed into key policy planning and implementation at national and local levels

Component 4: Climate Change

Outcome 1: Climate change adaptation mainstreamed by the key line ministries into their sectoral and provincial plans, policies and budgets

The Project is also relevant with respect to the three objectives of the GEF Strategy (2010-2014) on Adaptation to Climate Change for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF):

OBJECTIVE 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level

OBJECTIVE 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level

OBJECTIVE 3: Promote transfer and adoption of adaptation technology

The activities supported by the Project closely match several of the sectors of the SCCF (taken from original COP7 decision), including:

- Water Resources Management: improving efficiency of water use, providing new sources of water (e.g. rain water collection), improved management of crops and animals to reduce water needs for agriculture (everything relating directly to water use, including agricultural water use)
- Agriculture/Land Management: Drought resistant crops, crop diversification, climate resilient management methods, food banks (everything relating directly to crops or animals (i.e. not water) however the practical separation between the two is often difficult)
- Integrated Coastal Zone Management: 'soft' coastal protection measures (e.g. beach nourishment, sand fixation, creating buffer vegetation buffer zones), climate change resilient management of coastal natural resources, updating coastal zoning policies, 'hard' coastal protection measures (e.g. sea walls).

- Disaster Risk Management: early warning systems, meteorological capacity building and making timely information available to key stakeholders, vulnerability assessments.

3.3.3. Efficiency

Efficiency is rated as: Moderately Satisfactory

In terms of the incremental cost criteria, the project was moderately efficient. There was clear evidence among interviewed stakeholders within the target villages of retained knowledge regarding climate change risks. These capacity building efforts did not seem to extend beyond the sub-district level, and there was no evidence that the methodologies of assessing vulnerabilities and capacities were adopted by provincial or national level planning authorities.

With respect to the small grant adaptation interventions (Outcome 2), most of the measures were replication or scaling up of activities that were already implemented in these areas, such as check dams, mangrove restoration, and fishing gear revolving funds. Not that these interventions do not contribute to the adaptive capacity of the communities, but the level of additionality compared to business-as-usual approaches is marginal. And, because of limited time for implementation and generally weak monitoring during the Project, there are limited scientific results that would lend to a detailed analysis of the adaptation benefits realized.

Also, the Project did not efficiently demonstrate the value of community-based climate change adaptation in terms of provincial and sector level planning. The Project did engage the provincial authorities in each of the three target provinces, but the influence on provincial development planning was minimal, with some evidence of small-scale climate risk reduction activities included in provincial plans, but generally lacking sustainable, recurrent inclusion. At the national level, DDPM officials indicated that they have expanded some of their internal training modules to include community-based climate change risk reduction, as a result of knowledge gained through the Project. But, due to the fact that a relatively small number of DDPM staff members were involved during the Project, there was no evidence apparent to the TE team that the Project results influenced the DDPM Master Plan development or the Provincial DPM plans.

With respect to co-financing, the parallel and in-kind commitments were realized, according to testimonial evidence provided during the TE mission. Considering that 97% of the co-financing was from parallel projects and the fact that the DDPM and the TRCS had no available documentary records of the co-financed sums, the level of clarity of co-financing reporting is concluded to have been rather low.

The other reason why efficiency was rated only as moderately satisfactory was the reportedly late disbursement of payments to field stations from the TRCS, due largely to rigid administrative procedures. Field station coordination personnel indicated during TE interviews that they occasionally used their own money to make payments to grant beneficiaries, to avoid delays in implementation.

3.3.4. Country Ownership

Based upon the evaluation findings, country ownership is considered to have been moderate. The Project was indeed developed to complement the National Strategy on Climate Change Management (ONEP 2009), which highlights adaptation as one of the six pillars. Furthermore, integrating climate change adaptation into the ongoing community based disaster risk management program implemented by the DDPM was one of the main interests among the involved national stakeholders.

The DDPM was one of the responsible parties during the Project, but without any specific implementation role, their involvement was more or less reduced to participating in Project Board meetings and attending Project-sponsored seminars and workshops. Involvement by other key government stakeholders was also limited, including with the ONEP, the national focal agency for UNFCCC. As the Project also had a strong development planning objective, certain other relevant government stakeholders did not actively participate; such as the Department of Public Works and Town & Country Planning (DPT), Ministry of Interior.

Participation by the civil society within the target villages and sub-districts was good, and the outreach achieved through the activities supported by the Project was quite extensive within the involved communities. The Thai government has maintained financial commitment to the Project, through realization of co-financing through in-kind and parallel project contributions from the DDPM. Also, ONEP representatives indicated that the recommendations facilitated by the Project as a result of the October 2013 national workshop will be considered when they are developing the action plan, after the updated National Climate Change Strategy is approved, expectedly later this year, providing that the current political unrest is resolved and these issues remain priorities.

3.3.5. Mainstreaming

One of the main strengths of the Project was contributing to further empowerment of targeted local communities, in terms of reducing their vulnerability to climate change. This was realized through implementing site-specific adaptation measures, which also had the benefit of providing alternative and enhanced livelihoods and improved natural resource management. One of the main pillars of the Project was to facilitate communities to better cope with climate change, including the consequences of increased frequency and intensity of natural disasters.

Gender issues were taken into account in nearly all activities on the Project. There was focused efforts made to engage women in the community-based climate risk reduction measures was deliberately, and at least 50% of the beneficiaries turned out to be women. The TE team made several observations during the evaluation mission of impressive women empowerment, e.g., the women's group managing the rice farming improvements in midstream region within the Tachied River, Tamod sub-district, Phatthalung province, and the group predominated by women of Village 4 at Libong Island (Trang province), where they have been leading Project activities, including mangrove restoration, agro-forestry, and check dams. Consideration of gender aspects was also evident in evaluation of the Project team: each of the project managers were women, as were the field coordinator and assistant coordinator, and the project finance assistant. Furthermore, the key Implementing Agency contact person, the program analyst from the Environment Unit of UNDP Thailand is a woman.

The Project also conformed to the agreed priorities in the UNDP country programme, including the expected Country Programme outcome 2 (Enhanced local democracy and meaningful participation of civil society, especially women and youth, in decision-making) and outcome 5 (Alternative knowledge management for community learning based on indigenous livelihoods and evidence-based empirical studies that strengthen case for pro-poor policies), and also with CPAP output 7 (Strengthened capacity of local administrative organizations to support participator planning and mainstream social development and community plans, particularly of vulnerable groups, into broader planning processes).

3.3.6. Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the project funding ends.

Overall, the Sustainability of the project benefits is rated as: Moderately Likely

There have been some successes of local communities influencing provincial level planning and funding, but the centralized nature of public financing in Thailand is generally counterproductive to bottom-up approaches aimed at strengthening community level capacities.

Financial Risks

The Financial Risks dimension of sustainability is rated as: Moderately Likely

Financing low-cost CCA measures by local communities is within their means, but, for substantial interventions, subnational administrations have only partial autonomy and discretion with respect to funding. There is, however, is progress being made towards the fiscal decentralization objectives for local administrations, as the ratio of local revenues to the central government net contributions have increased from about 20% in the early 2000s to approx. 25% in recent years (CPEIR, 2012)[1]. Further increase and consolidation of local revenues is expected in the coming years, as improvements in the decentralization efforts are highlighted in the 11th National Economic and Social Development Plan (2012-2016)[2], as it is recognized that the efficiencies of local administrative organizations are being hindered by the unclear allocation of responsibilities between the central government and local units.

In terms of budgetary allocation for climate change actions, the CPEIR study concluded that there is very little flexibility in the government's budget, and essentially new funding sources, such as through the use of fiscal measures, will need to shore up the currently low share of funding dedicated for climate change adaptation and mitigation. Operationalizing and eventually leveraging these domestic funding sources will take time, and only modest contributions from international funding sources are expected.

Socio-Economic Risks

The Socio-Economic Risks dimension of sustainability is rated as: Moderately Likely

Due to the centralized nature of public financing, political agendas often outweigh concerns for local community development. On a local level, within the targeted communities, the Project was able to demonstrate that certain climate change adaptation can be coupled with economic development, e.g., improved crop efficiencies, but due to limited governmental stakeholder involvement, there are limited mechanisms in place to continue interactions with provincial planners, line ministry regional representatives, and other administrative officials.

Institutional Framework and Governance Risks

Institutional Framework / Governance dimension of sustainability is rated as: Moderately Likely

Although there have been efforts to shift to a more decentralized public administration process, public expenditures remain highly centralized, and this limits the overall effectiveness of local administrative bodies in delivering public services and affecting development in their communities. Within the targeted areas, the capacity building efforts of the Project, with respect to understanding and integrating climate change adaptation into development priorities, were fairly successful at the village and sub-district level, but less so at the district and provincial dimensions.

[1] Climate Public Expenditure and Institutional Review, Thailand, UNDP, 2012.
[2] The National Economic and Social Development Board, Office of the Prime Minister, Bangkok.

Environmental Risks

The Environmental Risks dimension of sustainability is rated as: Moderately Likely

The Project targeted only a small number of villages, and even with those communities, adaptive capacities remains relatively low, as the climate risk reduction measures were mostly demonstrative in nature. Local communities, therefore, continue to be vulnerable to the effects of climate change, and more concerted efforts are required to make a measurable impact on increasing resilience.

3.3.7. Catalytic Role

The Project has had a noticeable catalytic effect. Results and lessons were consolidated and discussed in a national forum organized in October 2013 which had approx. 200 participants representing 23 organizations. A set of recommendations were formalized at the end of this workshop, and ONEP officials informed the TE team that their agency will consider these in their upcoming climate change action plan.

DDPM officials indicated that results of the Project will be spotlighted as part of a Southeast Asian regional conference on climate change and disaster risk reduction which Thailand is hosting in June 2014. Representatives from up to 50 nations have been invited.

The Siam Cement Group Foundation, a CSR arm of the large SCG company, has reportedly committed to continue with some of the Project activities in collaboration with the local sub-district, with constructing more check dams and supporting activities of increasing coverage of a particular coastal grass that can help reduce coastal erosion.

Also, the NGOs involved in the Project, including SDF, Save Andaman Network (SAN), Phatthalung Rivers Friends, and others, continue to operate in the target areas, so there is a good chance that the capacity they gained during the Project will be replicated in other areas where they are active. For example, SDF has received funding from the Office of Women's Affairs and Family Development, Ministry of Social Development and Human Security to train women in the South. And, SDF and DDPM have jointly developed a training curriculum on roles of women in community-based CCA, using experience gained on the Project.

3.3.8. Impact

Evaluating the Project impact was carried out following the general guidelines of the Review of Outcomes to Impacts (ROtI[1]) method. The ROtI method uses a Theory of Change approach to assess the overall performance of environmental projects.

Upon review of the project design and findings obtained during the final evaluation, the Project's intended impacts are consolidated as follows:

1. Verifiable improvements in adaptation capacity (in the target areas)
2. Verifiable reductions in vulnerability to climate change (in the target areas)

For the purposes of evaluating impact, the TE team formulated the following intermediate state between outcome and impact:

Sub-national bodies synchronize priorities and community-based adaptation measures sustainably supported and scaled up throughout the target communities

The ROtI desk assessment was based on review of project deliverables and other findings obtained as part of the terminal evaluation, and the findings are summarized below in **Exhibit 11**.

[1] The ROtI Handbook, Towards Enhancing the Impact of Environmental Projects, Aug 2009, Global Environmental Facility.

Exhibit 11. Review of outcome to impacts

Outcome	Outcome Rating (A-D)	Intermediate State (IS)	IS Rating (A-D)	Impact	Impact Rating (+)	Overall
1. Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities	B	Sub-national bodies synchronize priorities and community-based adaptation measures sustainably supported and scaled up throughout the target communities	D	Verifiable improvements in adaptation capacity		BD
2. Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities						
3. Integration of climate change adaptation into provincial development plans and sector policies				Verifiable reductions in vulnerability to climate change		
4. Project knowledge captured, disseminated and replicated through dedicated follow-up activities						

Outcome Rating Justification: Targeted communities were empowered in better understanding climate related risks and what measures can be implemented to reduce those risks, but only minimal advances were made with provincial level authorities. There were no mechanisms designed to facilitate continued dialogue between community and provincial levels of sub-national government after Project closure.

Intermediate States Rating Justification: Limited involvement of national and provincial governmental stakeholders precludes the likelihood that provincial level planners will integrate community-based adaptation measures into their socio-economic development plans. Also, there was limited policy uptake on the national level regarding community-based adaptation, so also low likelihood for top-down influence on provincial plans.

Definitions (adopted from the ROtI Handbook, Aug 2009, GEF):

Outcome Rating	Intermediate States Rating	Impact Rating
D: The project's intended outcomes were not delivered.	D: The conditions necessary to achieve intermediate states are unlikely to be met.	Rating "+": Measurable impacts or threat reduction achieved and documented within the project life-span.
C: The outcomes delivered were not designed to feed into a continuing process after funding.	C: The conditions necessary to achieve intermediate states are in place, but are unlikely to lead to impact.	
B: The outcomes delivered were designed to feed into a continuing process but with no prior allocation of responsibilities after funding.	B: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with moderate likelihood that they will progress toward the intended impacts.	
A: The outcomes delivered were designed to feed into a continuing process with specific allocation of responsibilities after funding.	A: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with high likelihood that they will progress toward the intended impacts.	

Overall Likelihood of Impact Achievement:

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA BA AB CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

As outlined above in **Exhibit 11**, the likelihood of impact achievement in the foreseeable future is concluded to be **unlikely**, without continued external support.

Justification of this rating is summarized below.

- ✓ Insufficient involvement of national and provincial stakeholders;
- ✓ No mechanism designed to facilitate further dialogue among sub-national authorities after Project closure;
- ✓ No evidence of national policy uptake, e.g., integrating community-based adaptation into the next DDPM master plan.

4. Recommendations, Good Practices, Lessons Learned

4.1. Recommendations

Actions to Follow up or Reinforce Initial Benefits from the Project:

There remain opportunities for including climate change adaptation into the upcoming four-year strategic provincial plans (2015-18)

The four-year strategic plans (2015-2018) of the three provinces provide flexibility for climate change adaptation projects/activities to be included from 2016 fiscal year onwards, by having concerned line agencies submit the proposals which are a continuation or enhancement of the Project results. For example, the Trang provincial strategic plan has a focal area to "*Promote sustainable management of natural resource bases and improve the environment*"[1]. The mangrove restoration activities at Libong Island would fit nicely into this framework, and possibly be championed by the DMCR. The 4-year strategic plan for Phatthalung province also includes a strategy to "*Secure sustainable management of natural resources and environment*"[2]. Under this are three sub-strategies for the upstream, midstream and downstream reaches of the river basin with packages of corresponding projects which also align with the Project activities. For Nakhon Si Thammarat province, their strategy on *natural resource and energy management* also allows for activities from Project to be incorporated.

Apart from the strategies aimed at promoting sustainable management of natural resources including coastal areas, the three provinces should build upon the efforts of enhancing livelihood opportunities for local beneficiaries through community-based initiatives, aimed at strengthening their resilience to climate change effects.

We suggest holding a joint workshop with subnational planners and regional agency officials from the three provinces and facilitated by the UNDP, to discuss which actions could be integrated into their strategic plans and how to best ensure continued focus on community-based adaptation in subnational planning and budgeting.

Follow up with ONEP on linking one of the Project target areas in the GIZ project

The interview ONEP official indicated that they will try to include at least one of the Project target communities to the GIZ Climate Protection Policy project. This should be followed up.

Support presentation of Project results at the upcoming Southeast Asian DRR conference

Thailand is hosting a Southeast Asian regional conference on climate change and disaster risk reduction in June 2014. Project results should be consolidated and presented at this conference, as a means to disseminate progress made and lessons learned. This conference could also help generate funding possibilities for follow up activities.

[1] Trang Provincial Development Plan (2015-2018), Office of the Provincial Planning, Trang (www.trang.go.th)
[2] Phatthalung Provincial Development Plan (2015-2018), Office of the Provincial Planning, Phatthalung (www.phattalung.go.th)

PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES:

Support a top-down VCA in order to better facilitate engagement by provincial level planners

The vulnerability and capacity assessments (VCAs) were carried out on a village scale and the proposed climate risk reduction measures were also, in most cases, rather small in size. Provincial planners would likely gain a more insightful perspective if a VCA would be made on a province dimension. The assessment would not need to be detailed, but rather a broad look at land use trends, pressures on coastal areas and resources, and also should involve relevant line ministries, such as the DDPM, Department of Public Works and Town & Country Planning, the DMCR, MONRE, etc. Linkages with national programs and plans would also add value to the process, e.g., the national climate vulnerability map under preparation by ONEP, national and regional spatial plans, etc. Such an expansive assessment would enable provincial planners a stronger reference point for making informed decisions on proposed community development interventions, recognizing where certain activities could be replicated or scaled up, and possibly also influencing other provincial officers in provinces within the same cluster.

Integrate climate change adaptation in spatial and land use planning processes

Subnational administrations are actively involved in spatial planning, and the 50-year National Spatial Development Policy covers the fields of (1) land use and development, (2) agriculture, (3) urban and rural development, (4) industry, (5) tourism, (6) social services, (7) transportation, energy, IT, telecommunication, (8) prevention of natural disasters (ref.: Department of Public Works and Town & Country Planning, Ministry of Interior). By integrating climate change adaptation into spatial plans, e.g., with respect to land use, the impacts could potentially be more widespread and more sustainable, and the result would provide an overall framework for some of the activities proposed in the socioeconomic development processes.

With concerns involving the prospect of ASEAN integration in 2015 and also the experiences of the devastating floods of 2011, there is currently momentum focused on revising the National Spatial Development Plan. Under these circumstances, there is a potential entry point for introducing climate change adaptation as a cross-cutting component.

Expand environmental impact assessment practice and legislation with climate change adaptation aspects

Economic development is expected to continue to increase in Thailand over the foreseeable future, in terms of gross output at a rate of 5.3% per year on average until 2050 (at constant prices)[1]. This economic expansion will impart further pressures on ecosystems. For example, there have been considerable public expenditures spent on construction of roads in rural areas in recent years, and there are concerns that such developments are deteriorating adaptive capacities, e.g., through altering natural drainage patterns. There are several other development concerns as well, including shipping traffic through fragile marine ecosystems, coastal tourism, extensive shrimp farms along coastal zones, expansion of mono-crop rubber plantations, etc. By expanding the environmental impact assessment requirements to include climate change adaptation aspects, development within coastal communities, and elsewhere in Thailand, would need to better demonstrate that ecosystem services are being sustainably utilized and not jeopardized, and the built environment is designed in a way to enhance adaptive capacities in the face of climate change.

[1] Climate Public Expenditure and Institutional Review, Thailand, UNDP, 2012.

Sponsor a case study of a moderate size "hard" measure that links community-based adaptation

Focusing on a case study that showcases interaction among subnational authorities on a moderate size "hard" measure would be useful in terms of demonstrating available funding mechanisms for more substantial interventions, for instance, through the provincial plan or supported by one of the line ministries at the regional or district level. An example observed during the TE mission was a proposed offshore breakwater proposed by the Laem Talumphuk sub-district in the Nakhon Si Thammarat province. Sub-district officials indicated that they have been seeking funding for a number of years for the approx. 9 million THB (approx. 300,000 USD) intervention aimed at controlling particularly acute coastal erosion. It was beyond the scope of this evaluation to assess the feasibility of this particular investment, but it is a good example of an adaptation measure, designed locally with traditional knowledge, that is beyond the funding capacity of the sub-district and probably also the district's. It would be beneficial to assess how such a bottom-up proposal could be taken up through the subnational administrative structures, possibly mobilizing funding from the DMCR or other line ministry and also might be included under the provincial development plan. Following the process through procurement, construction, and eventual assessment of effectiveness, would form a complete cycle of subnational collaboration, a potential model for linking "hard" measures with community-based adaptation.

Include intangible benefits into performance indicators for such projects

For such development projects, indicators need to be formulated that measure such intangible aspects. Measurement is not as straightforward as for indicators that can easily be quantified, but there are existing tools available, such as livelihood surveys that can be applied.

Promote traditional knowledge for climate change adaptation

The Project has successfully highlighted local capacity in implementing traditional knowledge in climate change adaptation. An example was observed at Libong Island in the Trang province, where villagers have been experimenting with expanding mangrove forests and collecting information to assess ecosystem responses. Through their grass roots research, they have found that certain marine species have recovered remarkably well, and coastal erosion has also been reduced. This sub-district has reportedly received commitment from the DMCR to highlight their work as a model of sustainable development using traditional knowledge. These efforts should be linked with the national project on coastal conservation, where there might be a chance to upscale the techniques in other regions of the country.

OPERATIONAL ISSUES:

Better utilize the inception phase to sort out project uncertainties

The inception phase should be better utilized to sort out project uncertainties. For example, clarifying indicator targets should have been made at the inception, along with indication of monitoring metrics and procedures, and some type of roadmap for achieving integration into provincial planning processes.

Monitoring metrics and procedures should be included in M&E plans

Monitoring & evaluation plans should include more details on monitoring metrics and monitoring procedures. In this Project, metrics and responsibilities were not indicated for monitoring achievement toward progress on intended results. For example, there was a target that at least 80% of all TAO members, including all women members, are aware of climate-related risks and

the development benefits of community-based adaptation, but there was no indication of how the awareness would be measured, when the monitoring would take place, and who was responsible for the monitoring and reporting on results.

Work programming should be more extensive and be linked to the logical results framework

Projects should be programmed across the entire implementation timeframe, not only year-to-year, and preferably using the critical path methodology. In this way, progress and delays can be clearly communicated to implementing agency and implementing partner managers and to the Project Board members. And, adjustments to work activities can be more easily implemented, to ensure that sufficient progress is made toward performance targets, including deadlines.

Work programming should also be linked to the targets in the logical results framework; clearly indicating when such targets are expected to be realized and providing a decision-support tool for adjusting project resources accordingly.

UNDP should provide more intensive training on project management

Implementation timeframes are often restricted due to delays in establishing partnership arrangements and recruitment of project teams. This leads to a rushed focus on implementation once the enabling environment is in place, and commonly does not allow for sufficient training and mentoring of the project management team. It would be advisable if the UNDP provided more intensive project management training, possibly delivered in parallel with project implementation so that the team could better integrate good management techniques into overall project performance. For this project, in addition to project management training, there should have also been more efforts on strengthening the technical capacities of the project management staff, including the field coordinators.

4.2. Good Practices

Some of the activities and approaches deployed by the project are noteworthy as good practices, including those presented below.

Utilized local experience of NGOs in the region

The NGOs involved in Project implementation have extensive experience in Thailand, and the Project benefited from this comparative advantage. For example, both TRCS and SDF have worked closely with communities on disaster relief, natural resource conservation, and other activities. SDF and their local network NGOs, in particular, applied a community-empowerment approach which allowed local communities to take the “driver’s seat” in their own development. This resulted in high level engagement and ownership of target communities on the project activities.

Implementation modality had certain advantages, particularly with respect to strengthening community level capacities

Despite some of the shortcomings described earlier, largely due to mismatched capacities, a NGO implementation modality has certain advantages, particularly with respect to facilitating bottom-up community-based interventions. NGOs have much more experience than governmental stakeholders in leading such initiatives. A NGO modality is not however the preferred approach for leading top-down initiatives. The best solution might have been a combined NGO-National implementation modality.

Facilitated strengthening the role of women in some of the target communities

Several of the Project beneficiaries were women groups, and there were gender criteria incorporated into the small grant component. During some of the TE field visits, women were leading discussions, demonstrating their skill in project management, and were respected by male members of the communities. The approach taken in selecting grant beneficiaries was successful in empowering women.

Training in management and financial accounting is empowering for the community groups

Each of the interviewed beneficiary groups stressed how much they appreciated the training and hands-on experience they gained in management and financial accounting. Such capacity building efforts is considered money well spent, as the likelihood of sustainability of the results achieved by these groups is greatly enhanced.

4.3. Lessons Learned

Some lessons learned over the course of the project are summarized below.

Expecting provincial level planning results requires concerted involvement from government agencies

Bottom-up approaches are proven at being effective in empowering local communities, but in order to achieve buy-in from provincial and central level governmental authorities, there needs to be proportional top-down engagement, which requires concerted involvement by government stakeholders. There needs to be proactive engagement with provincial governors or at least provincial planning directors from key line agencies during the project formulation process, in order to:

1. Demonstrate to them the need for carrying out VCAs and climate change risk reduction actions, and convincing them of how these issues need to receive high priority in provincial development planning;
2. Formalize their commitment in the Project, e.g., by agreeing to certain co-financing targets in the form of replication or scaling up some of the interventions;
3. Solicit their input on how such projects could best be managed in order to achieve the intended outcomes. This process might be facilitated by performing a SWOT analysis of the available implementation modalities (NIM, DIM, NGO Execution, and combination of one or more of these);
4. As the field coordinators on this project were instrumental in mobilizing local interest and overseeing community-level interactions, there should be similar coordination within provincial and central agencies.

Community level development activities are typically recurrent or small-scale one-off measures

Typical measures included in community socio-economic development plans are recurrent in nature, e.g., canal dredging. These activities do contribute to an overall increase in adaptive capacity, but they are planned more as maintenance tasks and less as strategic climate change risk reduction measures. Incorporating climate change adaptation into community spatial plans would likely provide frameworks, e.g., through land use planning, that could be used to more strategically guide socio-economic development plans.

Working with three different provinces was probably too expansive

Considering the budget and time constraints, working with communities in three different provinces seems to have been too expansive, resources were spread thin and the project

management team spent a lot of time on coordination and administrative issues, which were variable in each of the targeted areas. Concentrating on one province might have yielded better results, as it would have likely been easier to have the Project team focus on one set of provincial stakeholders, rather than three. The climate issues were more or less similar in the three provinces, albeit there are demographic and geographic differences, but these did not seem to dictate how successful the Project efforts were.

The performance management system mandate by the government influences stakeholder involvement on issues outside their core responsibilities

It was evident at both subnational and central government levels that management is focused on key performance indicators prescribed for their organizations. Focus on agency performance was also observed within the TRCS. Although it is debatable how effective these systems have been at improving the quality of public services, agency officials are indeed incentivized on reaching their set targets, and this in a way constrains being involved in such international projects that require staff and other resources to be diverted from their normal work duties. On one hand it is important to recognize this tendency, but the system might also present opportunities. For example, the National Disaster Prevention and Mitigation Plan 2010-2014 states that every ministry-level agency is required to include disaster management-related programs in their annual operation plan and use disaster management-related programs as one of the joint key performance indicators (Joint KPIs) to measure inter-agency work performance[1]. Expanding this mandate with climate change adaptation, might further encourage multi-stakeholder awareness and potentially encourage collaboration across agencies on the issue.

To inform and have impact on national level policy, grounded project experiences need to be systematically consolidated and documented

As stated earlier, monitoring of results was generally weak during Project implementation. It is difficult to convince provincial or national policy makers if experiences are not sufficiently consolidated and well substantiated by proven ground experiences.

Indicators for such projects should also capture intangible benefits realized

As demonstrated in the pilot climate risk reduction measures, there are several ways that communities benefit through implementing adaptation strategies such as rehabilitation of natural coastal zone buffering mechanisms, improving water resource management, and providing increased security in face of disasters, e.g., through the fishing gear revolving funds. Increasing the level of interaction within existing groups and also extending to other stakeholders, including governmental authorities, also leads to an overall level of increased social capital for these communities. Many of these benefits are intangible, but nonetheless, they significantly contribute in strengthening resilience and reducing vulnerability.

Certain groups are sensitized to receiving free, unconditional assistance

Some of the community groups who benefited from Project support, particularly in the small grant component, are experienced in working with international donors. This was as advantage to a certain degree, as they are skilled at proposal writing and have also strengthened their capacity through trainings and project implementation. The downside is that these groups, and others, are more and more sensitized to receiving free, unconditional assistance. There should be higher co-financing demands for similar projects in the future, particularly for those groups who have relatively strong fund-raising capacities.

[1] Comparative Emergency Management: Understanding Disaster Policies, Organizations, and Initiatives from Around the World. FEMA Emergency Management Institute, Washington DC, 2012.

Through extensive experience in community development, some of the local groups have reached a point of wanting to implement the initiatives for the greater good of the community, rather than for financial gain for themselves

As a person's human security concerns are more and more fulfilled, there is a point that some individuals reach, where they look beyond their immediate livelihood needs and come to realize how beneficial certain development initiatives are at improving the community as a whole. The TE team observed this phenomenon during some of the field visit interactions. This is an intangible consequence, but it is an important, positive lesson that will likely reap benefits for years to come, as these individuals play increasingly influential roles in community development.

5. ANNEXES

Annex 1: Evaluation Mission Itinerary (17-24 March 2014)

Mon 17 March:	**Bangkok: UNDP/DDPM**
9.00-11.00:	Opening Meeting with UNDP Thailand (Ms. Sutharin Koonphol)
14.00-16.00:	Mr. Chainarong Vasanasomsithi-Director Research and International Cooperation Bureau; Department of Disaster Risk Prevention and Mitigation (DDPM), Ministry of Interior
17.00-18.00:	Meeting with Ms. Kanokporn Charoenrith*, Former project manager
Tue 18 March	**Bangkok**
10.00-12.00:	Meeting with Mr. Prasert Sirinapaporn, Director, Office of Climate Change Coordination, Office of Natural Resources and Environmental Policy and Planning (ONEP)
15.00-17.00	Interview with UNDP Thailand (Ms. Sutharin Koonphol)
17.00-18.00:	Telephone interview with Ms.Tiantawan Chulatipyachat** -SEA START
Wed 19 March:	**Bangkok, at TRCS-RCHB**
10.00-11.00	Dr. Amnat Barlee-Director of Relief and Community Health Bureau (RCHB), Thai Red Cross Society
12.00-12.30	Dr. Pichit Siriwan-Deputy Director of RCHB/ Project Director
14.00-15.00	Ms.Pavinee Yuprasert- Project Deputy Director
18.25- 19.50	Travel to Hadyai Airport
Thu 20 March:	**Pattalung, Tamod & Napakho Subdistricts**
08.30 – 10.00	Travel from Hotel in Hadyai to Tamod, Pattalung
10.00 – 12.00	Interview Field Coordinator & group interview: Tamod Community (visit some pilot areas)
12.00 – 13.00	Lunch
13.30 – 16.30	Travel to Napakor/Group Interview: Napakor & Jong Thanon Community
16.30 – 19.30	Travel to Nakhon Sri Thammarat
Fri 21 March:	**Nakhon Sri Thammarat, Laem Talumphuk**
09.00-10.00	Interview with Mrs. Vutcharee Chitworachinda, Chief, Provincial Development Strategy Division, Nakhan Sri Thammarat
10.00 – 10.00	Interview Tha Sala Sub-district officials
12.00 – 13.00	Lunch
14.00 – 16.00	Interview and field visit with Laem Talumphuk officials and fishermen group
16.00 – 19.00	Travel to Trang
Sat 22 March:	**Trang, Koh Libong**
10.00 – 11.00	Interview with Field Coordinator at Save Andaman Network Office
10.00 – 12.00	Travel to Kho Libong/Group Interview: Koh Libong Community (visit check dam)
12.00 – 13.00	Lunch
13.00 – 15.00	Group interview: Women Alternative Livelihood Group
15.00 – 16.30	Travel to Trang Airport
17.30 – 18.55	Travel to BKK
Mon 24 March:	**Bangkok**
09.00 – 11.00	Interview Ms. Ravadee Prasertcharoensuk, Director – Sustainable Development Foundation (SDF)
14.00 – 14.30	Interview Mr. Yusuke Taishi, Regional Technical Specialist
14.30 – 16.00	Debriefing with UNDP

Annex 2: List of Persons Interviewed

Date/Time	Name	Position/Organization
Monday, 17 March 2014		
9.00-12.00	Ms. Sutharin Koonpol,	Programme Analyst, Environment Unit, UNDP Thailand
14.00-16.00	Mr. Chainarong Vasanasomsithi	Director Research and International Cooperation Bureau, Department of Disaster Risk Prevention and Mitigation, Ministry of Interior
17.00-18.00	Ms. Kanokporn Charoenrith	Former Project Manager
Tuesday, 18 March 2014		
10.00-12.00	Mr.Prasert Sirinapaporn	Director Climate Change Management and Coordination Division, Office of Natural Resources and Environmental Policy and Planning
15.00-17.00	Ms. Sutharin Koonpol,	Programme Analyst, Environment Unit, UNDP Thailand
17.00-18.00	Ms.Tiantawan Chulatipyachat	South-east Asia Global Change System for Analysis, Research and Training (SEA START)
Wednesday, 19 March 2014		
10.00-11.00	Lt. Gen.Dr. Amnat Barlee	Director Relief and Community Health Bureau (RCHB), Thai Red Cross Society /Chairperson of the Project Board
12.30-13.00	Dr. Pichit Siriwan,	Deputy Director of RCHB/Project Director
14.00-15.00	Ms. Pavinee Tuprasert	Project Deputy Director
Thursday, 20 March 2014		
10.00-12.00 (Group interview &project site visits)	Ms. Benjawan Peng-Nu	Field Coordinator /Raks Ta-le Thai Foundation
	Mr. Adul Kaewkhongtham	Chairperson, Phattalung Watershed Conservation Netwotk/Project Participant
	Mr. Sern Petch-thong	Project Participant /Tamod Sub-district, Phattalung
	Ms. Panatee Olanvichitwong	Project Participant /Tamod Sub-district, Phattalung
	Mrs. Bang-on Kaewkhongtham	Project Participant /Tamod Sub-district, Phattalung
	Ms. Chuthathip Chusong	Project Participant /Tamod Sub-district, Phattalung
	Mr. Somkiat Banchapattanasakda	Project Participant /Tamod Sub-district, Phattalung
13.30-16.30 (Group interview)	Mr. Kanon Kingto	Project Participant/Napakor Sub-district, Phattalung
	Mrs. Somboon Musikanilpan	Project Participant/Napakor Sub-district, Phattalung
	Ms. Tida Klothong	Project Participant/Napakor Sub-district, Phattalung
	Ms. Wannee Sengso	Project Participant/Napakor Sub-district, Phattalung
	Mrs. Songmuang Makchot	Project Participant/Napakor Sub-district, Phattalung
	Mrs. Amphorn Niamboon	Project Participant/Napakor Sub-district,

Date/Time	Name	Position/Organization
		Phattalung
	Ms. Kanya Chan-iang	Project Participant/Napakor Sub-district, Phattalung
	Mrs. Wipawan Ruangna	Project Participant/Napakor Sub-district, Phattalung
	Mrs. Khien Chan-iang	Project Participant/Napakor Sub-district, Phattalung
	Ms. Kham Chan-iang	Project Participant/Napakor Sub-district, Phattalung
	Mr. Pan Polpetch	Project Participant/Napakor Sub-district, Phattalung
	Ms. Kalanamat Bamrungsena	TAO Officer, Napakor Sub-district, Phattalung
	Ms. Tiraporn Gangchu	TAO Officer, Napakor Sub-district, Phattalung
	Mr. Klai Kaewphakdi	Project Participant/Jongtanon Sub-district, Phattalung
	Mr. Noi Gaentaen	Project Participant/Jongtanon Sub-district, Phattalung
	Mrs. Somboon Musikapan	Project Participant/Jongtanon Sub-district, Phattalung
	Mrs. Wassana Musikapan	Project Participant/Jongtanon Sub-district, Phattalung
	Mr. Khongpop Musikapan	Project Participant/Jongtanon Sub-district, Phattalung
	Mrs. Kwanruan Chantaen	Project Participant/Jongtanon Sub-district, Phattalung
	Mrs. Rabiab Tayapirom	Project Participant/Jongtanon Sub-district, Phattalung
	Mrs. Nongnoot Nilapan	Project Participant/Jongtanon Sub-district, Phattalung
	Mrs. Aim-on Thipwaree	Project Participant/Jongtanon Sub-district, Phattalung
	Mr. Somchart Nakwirot	Agricultural Officer, Bangkaew Distirct, Phattalung
Friday, 21 March 2014		
9.00-10.00	Mrs. Vutcharee Chitworachinda	Chief, Provincial Development Strategy Division, Nakhan Sri Thammarat
10.00-11.00	Mr.Pinyo Nuchuen	TAO Officer, Tha Sala Sub-district, Nakhon Sri Thammarat
	Mr.Ammat Saithong	Village Headman, Village # 4, Tha Sala Sub-district, Nakhon Sri Thammarat
	Mrs. Monpicha Chuay-Muang	Field Coordinator, TRC S Station 12, Nakhon Sri Thammarat
14.00-16.00 (Group interview& project site visit)	Mr. Prayuth Kaewprasit	Mayor, Laem Ta Lum Pook TAO, Nakhon Sri Thammarat
	Mr. Boonpa Chaimuti	Vice Mayor**,** Laem Ta Lum Pook TAO, Nakhon Sri Thammarat
	Mr. Sutham Taetrakul	Civil Engineer, Laem Ta Lum Pook TAO, Nakhon Sri Thammarat
	Mr. Sophin Maneewong	Secretary to the Mayor of Laem Ta Lum Pook TAO

Date/Time	Name	Position/Organization
	Mr. Sak-anan Puttasen	Village Headman, Village #2, Laem Ta Lum Pook Sub-district, Nakhon Sri Thammarat
	Mr. Sarawut Laiduang	Deputy Village Headman, Village #3, Laem Ta Lum Pook Sub-district, Nakhon Sri Thammarat
	Mr. Haew Plaiduang	TAO member, Laem Ta Lum Pook TAO, Nakhon Sri Thammarat
	Mrs. Chong Saelee	Project Participant (Life Jacket Group)
Saturday, 22 March 2014		
10.00-11.00	Mrs. Dawan Sanlee	Field Coordinator, Save Andaman Network (SAN)
13.00-15.00 (Group interview& project site visit)	Mr. Isma-anne Pensa-ad	Project Participant (Fishery Group), Libong Island, Trang
	Mr. Sarueh Yuyen	Project Participant,(Check dam project) Libong Island, Trang
	Mr. Suthep Nanchai	Project Participant (Check dam project), Libong Island, Trang
	Mrs. Ramita Sarasit	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
	Mrs. Ya Sarasit	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
	Mrs. Sopa Nomad	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
	Mrs. Saengma Sarasit	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
	Mrs. Rohtiya Wachirakoson	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
	Mrs. Hamina Jilao	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
	Mrs. Sunaiton Madlee	Project Participant (Alternative Livelihood Women's group), Libon Island, Trang
Monday, 24 March 2014		
09.00-11.00	Ms. Ravadee Prasertcharoensuk	Director, Sustainable Development Foundation
14.00-14.30	Mr. Yusuke Taishi	GEF Regional Technical Adviser
14.30-15.30	UNDP	Debriefing

Annex 3: Summary of Field Visits

20 March, Presentation at the Tamod Sub-District, Phatthalung province

Two of the main people presenting: Chairperson of the Provincial Phatthalung Rivers Friends (NGO). He is also the village head-man of a village in Tamod Sub-District, also manager of the natural resources management group within that village. The other person was a woman (ask Walaitat her name), who has the main contact with SDF. She is from a down-stream Sub-District, but has been involved in all of the work in Phatthalung.

In Tamod Sub-District, there are three villages involved in INCA, created a joint committee of members of the villages, TAO members, and other interested parties. SDF's role is to facilitate them. This is the upstream area, total of 12 districts and 3 of the most vulnerable participated

Chief district officer, who was interested in the INCA project, convened a meeting with every representative from each sub-district in this District.

Prior to the Project, there were networks working separately within the watershed, but not collaboratively.

The Tachied River watershed was selected because there was local interest, some activities were in place, and the TAO authorities wanted to have a demonstration area. In this project, they have been able to expand the agroforestry activities, within the rubber, also lessons learned to other areas, and also early warning system, and developed model to rehabilitate the upstream ecosystem (canal dredging), and also established a nursery for seedlings planted within rubber plantations. Another value added feature of this project, they established a clearer mechanism of working with the TAO, e.g., the joint committee includes TAO members, and they can now have a mechanism for promoting community development activities into the TAO development plans. (TE Team: The Tha Sala TAO Development plan for 2013-2015 includes projects on: (1) Community preparedness for climate change, including information campaign and evacuation drills, for 30,000 (approx. 1,000 USD) THB per year; (2) mangrove afforestation, for 30,000 THB (approx. 1,000 USD) per year; and (3) global Warming Awareness (train school children on needs for energy and environmental conservation.

Also, some of the line agency officials are more informed from the District level, including members of the DDPM and MONRE.

Another achievement has been that villagers are now more aware of CCA. The number of villages participating in the watershed management programs has also increased, attracting villages from all along the watershed.

Knowledge products have also been distributed and engaged by schools and universities. The brochure presented during the meeting had no mention of UNDP, but it did include EU, CARE, SDF, and other logos, as these organizations apparently supported an event where this product was distributed.

With respect to Outcome 3, they organized a provincial committee for this project. Some recommendations of the committee have been incorporated into the provincial plan, including (1) promoting agro-forestry as part of the greening initiative, and (2) promoting irrigation schemes.

We asked for a copy of the provincial development plan. The NGO representatives indicated that that SDF has a copy in Bangkok (TE team: plan was not found on province's website).

The provincial committee set up for the Project will finish at project closure. There was an official order establishing the committee, issued during the first year of the Project (TE team: we asked for a copy of this order, but the NGO representatives did not seem to have access to it). The committee met two times over the lifespan of the Project.

With respect to gender mainstreaming, women are now engaged in a more substantial way in the planning processes, not only present to serve refreshments, as was the practice before.

With respect to sustainability, they will continue their efforts, trying to sit on committees in every level, e.g., fisheries sits on national committee, another person sits on the provincial sub-committee on natural resource management, national committee on environmental quality is using some of the lessons as demonstration promotion, etc.

Strategies moving forward include (1) continue using the community based approach, (2) participate in national forums, (3) promote lessons learned, (4) the NGO on Phattalung Rivers Friends has now registered as an association, so they can now tap further funding sources. These empowerment results are the result of the INCA Project. They have also have had an opportunity to train TAO and district leaders.

Watershed problems include: deforestation due to rubber, soil erosion, chemical pollution, land rights issues, natural disasters (landslides, yearly floods, also droughts are extreme. The name of the local river is the Tachied River and it is 42 km long.

With respect to agro-forestry coverage, the target was to engage 40 households and they were able to reach 86 HHs.

It was difficult to understand how these NGO representatives were involved in preparing the vulnerability capacity assessments (VCAs). Institutionalization and ownership of the VCAs are uncertain.

The group set up a joint community committee, consisting of residents from each of the three watershed areas (upstream, mid-stream, down-stream), TAO members, and also line agency officials. They used a set of criteria to evaluate the CC risk reduction actions, and they aimed at being consistent among the communities.

With respect to co-financing, local beneficiaries provided labor support, no cash financing. Further support was provided from the Health Promotion Foundation (ASH).

With respect to replication, the NGO representatives indicated that community participants were involved in cross-province learning/training, with Trang, teaching people there how to construct check dams.

The INCA grant money was also used to support establishment of a tree nursery. The nursery belongs to the community, and is managed by a local monastery. In fact, local residents provide donations to the monastery, and part of the money was used to build the nursery. Households register for receiving seedlings; no money is paid for them.

20 March, Visit Agro-Forestry Activity (Up-Stream Sub-District: Tamod), Phattalung province

Visited a local rubber plantation. The owner participated in the agro-forestry activities, received tree seedlings for free. These types of trees are in high demand for construction use. As a result of the agro-forestry activities, he has been able to increase his bee-keeping (more places to hang the hives). The soil fertility is expected to increase, as a result of mixed species and probably the nutrient input from fallen leaves. There is a university also supporting some local research on soil fertility increases as a result of decomposing leaf cover.

Agro-forestry is not a new concept, according to the owner, roughly 60% of the plantations are implementing it at some level. (TE Team: what is the added value promoted by INCA?)

There is a Rubber Replanting Aid Fund (ORRAF, within the Ministry of Agriculture and Cooperatives), that offers grant financing for farmers who own their own land. The grants are rather modest, 8,000

THB (approx. 250 USD). (TE team: based upon information on the ORRAF website, the organization also provides capacity building and other training services).

The BAAC (Bank for Agriculture and Agricultural Co-Operatives) offers loans to plantations, interest rates are approx. 7-9%/year. There are also eligibility criteria, and the Bank seems to favor mono-plantation units. The local NGOs, and others, have been pushing the BAAC to change this approach, trying to convince them the benefits of multiple-species plantations. (TE team: based upon information obtained from the BAAC website, the bank is implementing a Tree Bank Project, based on the King's initiative. The project has three main objectives: (1) Reduce global warming; (2) Reduce poverty incidence among small farmers and establish foundation for long-term economic gains for farmers/farming communities by growing variety of trees which give 4 kinds of uses (food, wood for houses, fire wood, and soil and watershed protection); and (3) Develop long-term self-reliance ability of farming communities through networks of community enterprises at local, regional and national levels. The bank is also collaborating with a Japanese insurance company, Sompo Japan Group and in cooperation with the Japan Bank for International Cooperation (JBIC) in offering weather index insurance for rice farmers in Thailand.)

Observation: there is no Project sign-post on this property.

20 March, Visit Check Dam Intervention (Up-Stream Sub-District: Tamod), Phatthalung province

Visited a nearby stream, where the local NGOs have constructed check dams with Project support. The relatively small stream, maybe 3 m across, has approx. 30 check dams constructed with sand bags. The groups learned how to build the dams without disrupting the ecological flow of the stream. Tree seedlings have also been planted along the bank of the stream, as planting rubber trees is prohibited near the stream banks. Plantation owners are being asked to inspect and maintain the check dams that are on their properties.

We observed that this plantation owner has irrigation on part of his property, near this stretch of the stream. He informed us that this is a gravity-fed system, from the nearby mountains. The systems were built with government funding; the chief of the sub-district informed him of the possibility of this support. Small villages reportedly receive approx. 250,000 THB funding for such irrigation schemes, and the village authorities can decide how to distribute the money.

20 March, Focus Group Interview with Mid-Stream and Down-Stream Groups, Phatthalung province

The mid-stream group is a farmers women's group who are mostly engaged in rice farming, some are running palm plantations.

One of the two down-stream groups is involved in fisheries, while the other group is engaged in rice farming (paddy rice).

Mid-Stream Group:

Through the INCA project, the group members have increased their knowledge on farming methods, i.e., coping with CC. One benefit has been the introduction of parachuting rice methods. Fewer seeds (15X lower seed cost) and lower water demand compared to traditional methods.

The particular group is a women's group, who has been associated for a number of years. Through the ecosystem approach promoted by SDF, the INCA project has helped the group link up with downstream villages.

The disbursement of funding was sometimes too lengthy, e.g.,:

UNDP ➔ TRCS ➔ SDF ➔ Provincial Committee (review function) ➔ Village-level Group

Regarding technical support, there was assistance from the Thaksin University, specifically the Indigenous Knowledge Centre.

They worked very closely with the Agricultural Extension Service (a representative was at the focus group meeting: The extension service officer indicated that the INCA project has helped the district to change their outlook: they now count more on the communities to indicate what development is needed for their communities. The Extension Service has a special fund (function budget) to support such activities. (

They also worked with the Rice Research Centre (Ministry of Agriculture and Cooperatives). Their village will be promoted as a model village by the Centre this year. The Centre will also contribute funding for building a nursery and processing facilities, to improve value addition. The Group needs to prepare an activity plan and submit proposals. The nursery is already approved. Funding for the processing facilities is not approved yet.

Downstream Group (fishermen group):

CC impacts to their communities: longer periods of flooding, more intense storms, higher levels of damage on houses.

Tried to use traditional knowledge, e.g., through mangrove rehabilitation. Also, the fishing gear revolving fund is an adaptation measure supported by the Project. Formerly, the fishermen depended on high-interest loans.

With respect to mangrove rehabilitation, they plan to start a nursery. They submitted a proposal to the Health Services Foundation. (TE team: Thai Health Promotion Foundation is an independent state agency which provides funds to more than 1,000 projects a year, including projects related to health promotion in communities and health promotion of specific demographic groups.

They are also documenting their experiences, as they realize that traditional knowledge needs to adapt to changing circumstances. For example, they formerly believed that planting needs to be made in the morning. This is changing, not always the case.

They are collaborating with the DMCR Station on mangrove rehabilitation.

Downstream Group (rice farming):

They are promoting 2 native varieties of rice, e.g., which always require submergence in water.

The Project has helped them deal with the Irrigation Department. They had had many problems with water levels, between the irrigation canals and their farms. As a result of the negotiations, both the authorities and farmers adjusted their systems.

Also, the Project has helped set up a seed bank, and a common demonstration plot. They learned how to record/research their collective experience and knowledge. (TE team: this seems like a good mechanism for dissemination of Project results).

Feedback from TAO representatives (2 women):

The TAO members joined the project committee.

The TAO has supported the 40 rai demonstration plot. This is now a learning centre for other villages within the sub-district.

In the TAO 3-year plan:

- Budget has been allocated to support the rice group.
- Also, for irrigation equipment, pipes and pumps, etc.

(TE team: we could not find supporting evidence of the above indication).

The TAO is also helping the rice group market their rice products, by advertising on the TAO website.

The TAO is also considering developing an eco-tourism area, showcasing rice farming – Organic Rice Growing.

There is a shift from rice to rubber in the sub-district, so there are irrigation conflicts, as the different users have varying water demands.

Irrigation water is free to farmers.

21 March, Visit to Mud Dredging, Village No. 5, Tha Sala Sub-District, Nakhon Si Thammarat

Village No. 5 is a predominantly Muslim populated community, with houses built very close to the coastline, making them very vulnerable to storms, etc. We visited one area of coastline where mud was dredged to cut access bays for boats. The dredged mud was piled up on the sides of the areas cut, and trees were planted last year in order to stabilize this built-up land area. Many of the trees were damaged, washed away as a result of wave action from storms late last year. The do plan on continuing with the tree planting here.

The mud dredging equipment was financed through grant support from the INCA project. They purchased a used dredging machine, costing 20,000 THB. Currently, they are not running the equipment because they have insufficient money for petrol.

21 March, Visit Coastline of Laem Thalumphuk Sub-District, Nakhon Si Thammarat Province

Along with the mayor and TAO staff, we visited the shoreline in town to observe coastal erosion that occurred last week, when strong wave action eroded the beach up to an adjacent road, undermining the road and up-rooting trees. This area is very exposed to such damage, and there are frequent events.

TE team: this community is geographically very exposed. Spatial planning is important in this community, and there is a good opportunity for linking CCA with their spatial plans.

21 March, Interview Fisheries Group, Laem Thalumphuk Sub-District, Nakhon Si Thammarat Province

This group is actually a collaboration of groups from two different villages. Through the INCA project, the group has been involved in life-vest manufacturing and nipa palm growing.

In their normal work, the local fishermen typically do not use life-vests because they are too expensive; they typically use some natural object that can be used as a flotation device. They like the life-vest manufacturing because they can do it on their own and it provides potential alternative livelihood. For the time being, the products are being distributed to fishermen in the group, primarily. The TAO has helped promote the life-vests also, e.g., by purchasing some of them.

There are currently 17 households involved in the life-vest manufacturing, among 2 villages. They are open to expand membership; they particularly need people who have sewing skill.

When asked about their opinion of climate change impacts, they indicated that the weather patterns are now more extreme, with more intense storms and longer, hotter dry periods. The water level in the canals is decreasing, due to mud sedimentation, and it is increasingly difficult to get their boats into shore. Increasing water temperatures, particularly within the canals, is causing fish kills.

With respect to dredging the local canals, the last time it was done was about 5 years ago. They have restrictions imposed by the National Park Service.

With respect to nipa palm growing, there are several potential benefits: (1) reduces water temperature near water edge; (2) provides increased habitat for crabs; (3) provides shade for boats; (4) provides construction material, i.e., leaves used for roofs; and (5) fruits can be sold.

They had some difficulties last year with a large proportion of palm seedlings not surviving the trip to the village. They received support from the INCA project to establish a local nursery, to resolve this problem. And the DCMR gave the group a permit to plant palm over a 50 rai area (approx. 8 ha). They also plan to grow other trees, e.g., hard wood (native species).

The INCA project also helped the group establish a fishing gear revolving fund, by contributing 60,000 THB (approx. 2,000 USD). The members have contributed an additional 30,000 THB (approx. 1,000 USD) through regular deposits. The maximum allowable loan is 3,000 THB (approx. 100 USD), and there is a 100 THB interest payment levied when the loan is issued. Members contribute 50 THB per month per member.

With respect to fishing income, prices are the same among all of the HHs, so there is no competition across the group. Markets are local. Most members hold several debts, so times are difficult.

When asked about the nearly shrimp farms, the fishermen indicated that those are owned by outside investors. This activity is very risky and requires quite a high up-front investment. Many of the farms are inoperable due to disease or other factor. The products are sold to Bangkok-based markets.

The INCA project also supported radio-broadcasting equipment, brand new unit. The TAO owns the infrastructure, but the group operates the system with volunteers. There is no regular order to the announcements, basically if someone observes a noteworthy event, they will request the key and make an announcement. The group members like the system, partly because they use it not only for disaster early warning. Due to damage from saltwater spray, the unit is currently not running too well; the broadcast quality is not very good. Apparently, the TAO has some reserves to cover maintenance costs. But, sustainability in the long-term seems rather questionable, as the TAO seems particularly under-funded and the group members are poor and not yet sufficiently capacitated to raise funds on their own.

22 March, Interview Engaged Groups on Village 4, Libong Island, Trang Province

There were a number of groups engaged in this village, including a women's group, and a fishermen group. These groups were associated before the INCA project.

The INCA women's group was involved in check dams, mangrove rehabilitation, and agro-forestry.

SAN prepared the proposals for the activities; the grant money was disbursed directly to the groups' accounts.

There are a total of approx. 700 households in the 4 villages engaged on Libong; 227 HHs in Village No. 4. There is a group of 60 HHs that represent the 700 HHs. More or less, all households participated in the VCA process.

Village heads work with the TAO on village development plans. Activities included in the village plan include: cutting drainage canals, landslide prevention, and livelihood enhancement.

The former TAO mayor nearly approved a 1 million THB landslide prevention project, but the mayor recently changed and the group needs to re-engage the TAO on this subject.

As a result of the INCA project, the group has been able to leverage national-level support, from the Department of Marine and Coastal Resources (DMCR), who will use Libong Island as a model to promote sustainable development, with respect to using mangrove rehabilitation to reduce coastal erosion and promote consequential benefits, including increased fish stocks and protection against storms.

With respect to access to District Authorities, it seems that the village groups do have experience. For example, they have recently requested District funding for a public relations campaign to increase

awareness on mangrove rehabilitation. The value of this support is modest (50,000 THB, approx. 1,500 USD), but hopefully will lead to financing of the intervention later on.

The groups are also promoting indigenous knowledge, e.g., building fish breeding structures from bamboo, and improving the coastal habitat for the dugong animals (there is a relatively large population of dugong near Libong Island.

The activities on the INCA project have also led to leveraged private sector funding, specifically through the SCG Foundation, who is committed to support further check dams and watershed rehabilitation.

One of the group members reiterated the benefits of the check dams. With these dams, further tree coverage is encouraged near the stream banks, and there is now available water during the dry season. Prior to constructing the check dams, these stream stretches were dry this time of year.

Feedback from women in the groups:

One of the benefits appreciated by women are the increased water supply as a result of the check dams, not only in the streams, but also allowing them to construct shallow wells near the stream banks. Construction of the check dams has also led to an increase level of collaboration among villages.

With the income from alternative livelihoods (e.g., sale of “pulling” shellfish), average monthly income for individual women has in some cases increased from 1000 THB before to 3000 THB following the interventions.

The women’s group is also hosting a learning center in Village No. 4, and there are visitors from residents of other Libong villages and from university students. This has helped disseminate the knowledge gained from the Project.

22 March, Visit Check Dam Constructed in Village 4, Libong Island, Trang Province

We visited 1 of the 8 check dams constructed in Village 4 on Libong Island. The check dam is built of sand bags, set in a small stream, approx. 2 m wide. The villagers indicated that they obtained technical advice when they took a study tour to Phatthalung province, where they also built check dams as part of the INCA project.

Stream water was observed partially backed up, while allowing flow, thus enabling ecological function. The construction is rather simple, probably requiring a very low amount of capital funding.

Annex 4: List of Information Reviewed

- Project Document, May 2010 (including co-financing commitment letters)
- Request for CEO Endorsement/Approval, May 2010
- Inception Report, 2010
- Annual Project Review (APR) / Project Implementation Report: 2012, 2013
- Project Review, 10 Nov 2013
- Minutes of Project Board Meetings: 2010, 2011, 2012, Jun 2013, Nov 2013
- Minutes of Core Team Meetings: May 2012, Jul 2012, Oct 2012, Jan 2013, May 2013, Feb 2014
- LPAC Minutes of Meeting, 6 Aug 2010
- Project Brief, May 2012
- Mid-Term Review Report, June 2013
- Annual Work Plans: 2010, 2011, 2012, 2013
- Combined Delivery Reports: 2011, 2012, 2013
- Quarterly Progress Reports: 2012 (4 reports), 2013 (4 reports)
- Back-to-Office Reports (BTOR): 25 October 2011 and 18 July 2012
- Independent Audit Report, for period 01 Jan 2011 through 31 Dec 2012
- Factsheet, Project
- Factsheets for target provinces: Nakhon si Thammarat, Phattalung, and Trang
- Policy forum brochure and book, October 2013
- Terms of Reference (GIS)
- Terms of Reference (KM – Knowledge Management)
- Final Draft Project Video Framework
- Nakon Coastal Seminar 2012, documentation

Annex 5: Evaluation Matrix

Evaluation Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the Project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
To what extent is the principle of the project in line with the national priorities of DRM/CCA?	Level of participation of the concerned agencies in project activities. Consistency with National strategies and policies.	Minutes of meetings, Project progress reports, National Strategy and Policy documents	Desk review, interviews
To what extent is the project objective supporting the policies or priorities of DDPM and ONEP?	1 national conference on CBA in Thailand. Adoption of lessons learned report. Case studies of the Project in guidelines, manuals, plans of the concerned agencies	Manuals, Progress Reports, agency plans and strategies	Desk review, consultation with DDPM and ONEP staff
To what extent is the Project aligned to the main objectives of the GEF focal area?	Consistency with GEF strategic objectives	GEF Strategy documents, PIRs, Tracking Tools	Desk review, interview with UNDP-GEF TA
Effectiveness: To what extent have the expected outcomes and objectives of the Project been achieved?			
Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities	Number and quality of Community Climate Risk Action Plans prepared that reflect the differential vulnerabilities of different sections of society, particularly women. Proportion of TAO members, including women members, with increased understanding of climate-related risks and the development benefits of adaptation.	VCA reports	Desk reviews, interviews, field visits
Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities	Number and impact of priority climate risk reduction measures being implemented by target communities. Number of community-based adaptation measures evaluated for their effectiveness and long-term potential	Progress reports, Final project review, Mid-term review report, community development plans, budget allocations	Desk review, interviews, field visits
Integration of climate change adaptation into provincial development plans and sector policies	Number of priority community climate risk reduction proposals financed through provincial government budgets	Progress reports, final Project review, mid-term review report, provincial plans and budgets	Desk review, interviews
Project knowledge captured, disseminated and replicated through dedicated follow-up activities	Number of dedicated follow-up activities to systematically document and disseminate Project knowledge and lessons learned	Progress reports, final Project review, mid-term review report, knowledge products	Desk review, interviews, field visits
Efficiency: Was the Project implemented efficiently, in-line with international and national norms and standards?			
The extent of achievement of Project objective and outcomes according to the proposed budget	Percentage of expenditures in proportion with the results	Progress reports, Project Implementation Reviews	Desk review, interviews
Was the Project efficient with respect to incremental cost criteria?	Activities supported by the Project not commonly included among "business as usual" planning and development priorities	National and local strategies and plans	Desk review, interviews

Evaluation Criteria Questions	Indicators	Sources	Methodology
Country Ownership:			
Are project outcomes contributing to national and local development plans and priorities?	Plans and policies incorporating initiatives	Government approved plans and policies	Desk review, interviews
Were the relevant country representatives from government and civil society involved in the Project?	Effective stakeholder involvement	Meeting minutes, reports	Desk review, interviews, field visits
Did the recipient government maintain its financial commitment to the Project?	Committed co-financing realized	Audit reports, project accounting records, PIRs	Desk review, interviews
Has the governments approved policies or regulatory frameworks in line with the Project objective?	Plans and policies incorporating initiatives	Government approved plans and policies	Desk review, interviews
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term Project results?			
Resource mobilization of domestic resources to finance community priority action plans	Availability and amount of provincial or sub-district budget allocations	Progress reports, PIRs, provincial and sub-district plans and budgets	Desk review, interviews
Integration of climate risks into the subnational planning Process	Likelihood of vulnerability assessments organically conducted by sub-district administrations	Progress reports, PIRs, sub-district plans and budgets	Desk review, interviews
Institutional capacity for supporting DRM activities at the subnational level	Awareness among provincial and ministerial officers about climate risks	Progress reports, PIRs, training records, recent provincial and ministerial decisions	Desk review, interviews
Fund raising capacity of target districts enhanced to sustain and further develop the Project achievements?	Revenue collection schemes, financed projects, private sector participation	Revenue records, project proposals	Desk review, interviews
Are there social or political risks that may threaten the sustainability of Project outcomes?	Approved development plans, migration to/from vulnerable areas	National and local development plans, demographic studies	Desk review, interviews
Are there ongoing activities that pose an environmental threat to the sustainability of Project outcomes?	Climate change predictions	Climatological data reports, state of environment reports	Desk review, interviews, field visits
Impact: Are there indications that the Project has contributed to, or enabled progress toward, reduced vulnerability and/or improved adaptive capacity status?			
The Project has made attributable contributions to vulnerability reduction in coastal communities	Effectiveness of community priority adaptation plans	Progress reports, PIRs	Desk review, interviews
Stakeholder Involvement:			
Did the Project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities, local governments, and	Active stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits

Evaluation Criteria Questions	Indicators	Sources	Methodology
academic institutions?			
Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved?	Active stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits
Did the Project seek participation from stakeholders in (1) project design, (2) implementation, and (3) monitoring & evaluation?	Record of comments and response	Plans, reports	Desk review, interviews, field visits
Catalytic Role:			
Explain how the Project has had a catalytic or replication effect in the country and/or region.	Reference by other projects, programs	Interview records, project fact sheets	Desk review, interviews
Synergy with Other Projects/Programs			
Explain how synergies with other CC projects/programs were incorporated in the design and/or implementation of the project.	Reference to other projects/programs	Plans, reports, meeting minutes	Desk review, interviews
Preparation and Readiness			
Were the Project objective and components clear, practicable, and feasible within its time frame?	Project efficiency, stakeholder involvement	Logical results framework	Desk review, interviews
Were the capacities of the executing institution(s) and its counterparts properly considered when the Project was designed?	Project efficiency and effectiveness	Progress reports, audit results	Desk review, interviews
Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to Project approval?	Project effectiveness	Memorandums of understanding, agreements	Desk review, interviews
Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry?	Project efficiency and effectiveness	Interview records, progress reports	Desk review, interviews, field visits
Financial Planning			
Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?	Project efficiency	Audit reports, project accounting records, level of attainment of project outcomes	Desk review, interviews
Was there due diligence in the management of funds and financial audits?	Project efficiency	Audit reports, project accounting records	Desk review, interviews, field visits
Did promised co-financing materialize?	Project efficiency	Audit reports, project accounting records	Desk review, interviews
Supervision and Backstopping			

Evaluation Criteria Questions	Indicators	Sources	Methodology
Did GEF Agency staff identify problems in a timely fashion and accurately estimate their seriousness?	Project effectiveness	Progress reports, MTR report, final Project review report	Desk review, interviews
Did GEF Agency staff provide quality support and advice to the project, approve modifications in time, and restructure the Project when needed?	Project effectiveness	Progress reports, MTR report, final Project review report	Desk review, interviews
Did the GEF Agency provide the right staffing levels, continuity, skill mix, and frequency of field visits for the Project?	Project effectiveness	Progress reports, MTR report, final Project review report, back-to-office reports, internal appraisals	Desk review, interviews, field visits
Delays and Project Outcomes and Sustainability			
If there were delays in project implementation and completion, what were the reasons?	Sustainability of Project outcomes	Progress reports, MTR report, final Project review report	Desk review, interviews
Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?	Sustainability of Project outcomes	Progress reports, level of attainment of project outcomes	Desk review, interviews
Monitoring & Evaluation			
Did management adequately respond to mid-term review recommendations?	Project effectiveness	Management response, PIRs, final Project review	Desk review, interviews
Was there sufficient focus on results-based management?	Project effectiveness	PIRs, MTR report, final Project review	Desk review, interviews

Annex 6: Matrix for Rating Achievement of Project Objective and Outcomes

The level of achievement of the project objective and outcomes was evaluated by evaluating the progress made toward achieving the targets on the indicators set out in the logical results framework.

The color coding indicated under the rating of achievement is explained below:

HS	**Highly Satisfactorily achieved**
S	**Satisfactorily achieved**
MS	**Moderately Satisfactorily achieved**
MU	**Moderately Unsatisfactorily achieved**
U	**Unsatisfactorily achieved**
HU	**Highly Unsatisfactorily achieved**
U/A	**Unable to Assess**
N/A	**Not Applicable**

Project Design			Terminal Evaluation Comments and Rating		
Indicator	**Baseline**	**Target**	**Comments**	**Estimated % Achievement**	**Rating**
Overall Objective: **To increase the adaptive capacity of vulnerable coastal communities in Thailand to climate change-related risks and extreme weather events**					
Project Objective: To integrate the climate change vulnerabilities and adaptation options of coastal communities into development planning processes in three provinces of southern Thailand					**MS**
Number of community climate risk reduction proposals mainstreamed into the Provincial Development Plans and endorsed by the Integrated Provincial Administrative Committee (IPAC)	0	At least 10 priority community climate risk reduction proposals integrated into the Provincial Development Plans of the 3 project target provinces and endorsed by their IPAC	Phatthalung Province: (1) promoting agro-forestry as part of the province's greening initiative, and (2) promoting irrigation. These are unverified by the TE team; need to review provincial plan. Nakhon Si Thammarat Province: (1) early warning towers, but not part of the INCA project. The TE team needs to verify results by reviewing provincial plan. Trang Province: (1) province provided support for the crab bank established on Libong Island. The TE team needs to verify this by reviewing the provincial plan or speaking with provincial stakeholders.		**MS**
Number of Provincial Action Plans with committed budget for community-based climate and disaster risk reduction	0	At least 3 Provincial Action Plans include a budget allocation for community-based climate and disaster risk reduction	See above. No evidence of budget allocation.		**MS**

Project Design			Terminal Evaluation Comments and Rating		
Indicator	**Baseline**	**Target**	**Comments**	**Estimated % Achievement**	**Rating**
Number of national policies that support the integration of community-based adaptation into provincial development planning	0	Community-based adaptation is strengthened at the provincial level through at least one major national policy as follows:			**MS**
		DDPM endorses recommendations developed through the project for integrating climate change risk reduction and community-based adaptation into its next Master Plan, and/or	The DDPM will spotlight the INCA project in a July 2014 DRR regional conference to be held in Bangkok. No evidence of integrating into the DDPM master plan.		**MS**
		the National Committee on Climate Change (NCCC) develops guidelines based on project results and recommendations for operationalizing the adaptation pillar of the national climate change strategy at the provincial level	The INCA project was too small to be considered by the NCCC. The ONEP CC director has indicated that the 6 recommendations formulated as part of the October 2013 national seminar will be considered in the CCA action plan that will be made after the CC master plan for 2013-2050 is approved.		**MS**
Outcome 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities					
Number of Community Climate Risk Reduction Action Plans prepared that reflect the differential vulnerabilities of different sections of society, particularly women	0	At least 10 Community Climate Risk Reduction (CRR) Action Plans prepared based on participatory, gender-sensitive climate change VCAs	28 CRR action plans were prepared. The relevance to CCA is questionable in some cases, but generally satisfactorily achieved.		**S**
Proportion of TAO members, including women members, with increased understanding of climate-related risks and the development benefits of adaptation	0	At least 80% of all TAO members, including all women members, are aware of climate-related risks and the development benefits of community-based adaptation	There was no evidence of quantitative measurement of achievement of this target. Based upon interviews, the focus on CC was somehow intertwined with general community development issues.		**MS**
Output 1.1 Climate change vulnerabilities and adaptation options of 10 target communities systematically analyzed and documented through participatory and gender-sensitive climate change Vulnerability and Capacity Assessments (VCA)					
Output 1.2 Key public service providers and decision-makers at the subdistrict and village levels have increased ability to integrate climate risk reduction and community-based adaptation into coastal development planning					
Output 1.3 Priority community climate risk reduction (CRR) proposals integrated into Community Development Plans and submitted for approval and financing by subdistrict government					
Output 1.4 Increased TRCS and DDPM capacity for integrating climate change risks into DRM planning and practice					

Project Design			Terminal Evaluation Comments and Rating		
Indicator	**Baseline**	**Target**	**Comments**	**Estimated % Achievement**	**Rating**
Outcome 2: Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities					**S**
Number and impact of priority climate risk reduction measures being implemented by target communities	0 (to be confirmed during the VCAs)	Up to 10 target communities implementing at least one priority climate risk reduction measure identified in their Climate Risk Reduction Action Plans (Outcome 1) and at least 50% of communities report tangible benefits as a result	Total number of target communities (villages): 13 Phatthalung Province: 3 sub-districts, 3 villages Nakon Si Thammarat Province: 2 districts, 4 villages Trang Province: 1 district, 1 sub-district, 6 villages		**S**
Number of community-based adaptation measures evaluated for their effectiveness and long-term potential	0	Scientific and technical assessments of at least 2 community-based adaptation measures implemented through small-scale project adaptation grants (Output 2.1)	Uncertain of this. No evidence of technical assessments of the CCA measures implemented, e.g., check dams, mangrove reforestation, early warning systems, etc.		**MU**
Output 2.1 Up to 10 small-scale adaptation grants provided to target communities to demonstrate priority climate risk reduction measures identified in their Climate Risk Reduction Action Plans					
Output 2.2 The effectiveness and adaptation potential of at least 2 community-based adaptation measures in target coastal sub-districts systematically assessed					
Outcome 3: Integration of climate change adaptation into provincial development plans and sector policies					**MU**
Number of priority community climate risk reduction proposals financed through provincial government budgets	0	At least 50% of proposals submitted by target project communities integrated into Provincial Development Plans and financed through the Provincial Action Plans	No hard evidence of proposals or budget allocations, only testimonial evidence.		**MU**
Output 3.1 Priority community climate risk reduction proposals submitted for provincial government approval and financing					
Output 3.2 Provincial decision-makers, planners and line ministry staff in 3 target provinces understand climate change risks and know how to integrate climate risk reduction measures into coastal development planning					
Output 3.3 Recommendations for strengthening coastal climate risk reduction and community-based adaptation developed and discussed with provincial decision-makers					
Outcome 4: Project knowledge captured, disseminated and replicated through dedicated follow-up activities					**MS**
Number of dedicated follow up activities to systematically document and disseminate project knowledge and lessons learned	0	Project knowledge and lessons learned shared nationally and internationally through the following minimum number of activities:			**MS**
		a) one analytical paper documenting key	TE team has been unable to verify this.		**UA**

Project Design			Terminal Evaluation Comments and Rating		
Indicator	**Baseline**	**Target**	**Comments**	**Estimated % Achievement**	**Rating**
		lessons learned, including the current and potential role of women in CBA, with recommendations for integrating CBA into decentralized development planning in Thailand			
		b) 1 national conference on CBA in Thailand	National conference held in October 2013.		**S**
		c) at least 8 field visits to project demonstration sites by target and non-target communities in the target provinces to promote cross-community learning	There was sufficient evidence of cross-community learning, e.g., the implementation of check dams on Libong Island after a study tour in Phatthalung province.		**S**
		d) project knowledge and lessons learned disseminated through at least 2 national websites and 2 international climate change adaptation platforms	Project website is not updated and unsustainable. No other evidence on national level websites. Adaptation Learning Mechanism (ALM) website has a Project profile, but it is not updated.		**MS**
Output 4.1 Project knowledge and lessons learned systematically analyzed and documented					
Output 4.2 Increased awareness of climate change risks and community-based adaptation options and experiences among coastal communities in Thailand					
Output 4.3 Project knowledge and lessons learned disseminated nationally and internationally through websites, adaptation networks, the media and public events					

Annex 7: Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

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

Evaluation Consultant Agreement Form

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

Name of Consultants: Walaitat Worakul and James Lenoci

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

Signed in Bangkok on 2014 March 17

Signatures:

Walaitat Worakul, National Consultant

James Lenoci, International Consultant

Annex 8: Responses by Evaluation Team to Comments of Draft Report

Comment	Response by Evaluation Team
UNDP SKI. Executive Summary UNDP was involved in the drafting of the MOU as this was the first time that TRCS did a contract of this nature with other civil society organizations. However, there was a limit to what TRCS can put in this MOU per their role.	The statement has been revised, indicating UNDP's involvement in drafting the MOU.
UNDP SK2. Executive Summary Siam Cement Group?	OK, change has been made.
UNDP SK3. Executive Summary CBDRM?	OK, change has been made.
SDF 1, Executive Summary Page iv: Khao chai son TAO should be changed to Jongthanon TAO Page v: Jongthanon TAO should be changed to Napakhor TAO	OK, changes have been made.
UNDP SK4. Executive Summary This is not the 'intention' from the start. The division of labour was rather based on that groundwork that TRCS has in Nakhon Si Thammarat and that SDF has been working in Trang and Patthalung. The top-down and the bottom-up approaches became evident as the project went along due to the nature and the exposures of each organization.	This paragraph has been revised, in response to the clarification provided.
UNDP SK5. Executive Summary I've cross-checked with the informant's colleagues and line manager – it seems that she has not been promoted but rather than demoted. I am not sure how confirmed the TE team are on this statement. Otherwise, I think may be we could put it as the rewarding system did not take account staff's time and contribution to the implementation of this project.	This paragraph has been revised accordingly.
UNDP YT6. Section 2.5. Main Stakeholders This sentence is incomplete.	This sentence has been completed by adding the words "were selected".
UNDP SK7. Section 3.1.7. Linkages between Project and other interventions It may be worth noting that the phase 2 of this GIZ climate change, with the support on the provincial action plans, just started towards the end of last year. Before this phase started, it wasn't clear what this GIZ support will aim to do - hence no linkage between this project with the GIZ one beyond the information sharing and touch basing as and when the opportunity allows.	This paragraph has been revised according to the additional information provided.
UNDP YT8. Section 3.1.7. Linkages between Project and other interventions UNDP's follow-up on this can be one of the recommendations.	Agreed. This has been added under the Recommendations section.
UNDP SK9. Section 3.1.8. Management Arrangements Suggested revision: "resigning in October 2011 due to a personal reason.	OK, change has been made.
UNDP YT10. Section 3.1.8. Management Arrangements Incomplete (sentence).	The partial sentence has been removed.
UNDP YT11. Section 3.2.4. Project Finance In earlier sections, it was stated that there was no hard evidence of co-finance mobilization from TRCS. If that is the case, this caveat should be highlighted in this paragraph because by looking at Exhibit 9, it looks as if everything was fine.	Agreed. This sentence has been revised by caveating the co-financing evidence from TRCS and DDPM is testimonial only.
UNDP SK12. Section 3.2.4. Project Finance	OK. This section has been revised according to the additional evidence

Comment	Response by Evaluation Team
It may worth putting into context on this delay. The project was approved in June 2010 but the project document was signed in November 2010. The gap from June to November was due to (1) change in the restructure of the UNDP Environment Unit, leaving only one programme office in position during June – July 2010, the period of which she had to undergo an operation. The LPAC of the project was conducted in August 2010. The delegation of authority from GEF can only be granted after the LPAC (2) The delay on project document signature due to the need to pass it through the Ministry of Foreign Affairs due to the issue on Article 190 under the constitution at the time. Hence, it took a few months before the project could be signed. The project could not advertise for a PM position, unless it had been signed. Therefore, the PM recruitment started in Jan 2011. I will leave it to you how you would to put this info in but I think it is only fair and will inform the next project implementation on why the start-up of a GEF project could take a long time.	provided.
UNDP SK13. Section 3.2.4. Project Finance Let me double check these details, I wasn't at all sure why the M&E figures was so high during 2011. We did a micro-assessment, but that should be only around 3000-4000 USD. Will get back to you soon on this. Follow-up via e-mail: The reason for the high M&E is because the project spent USD 20,000 for organizing the policy forum on 13 December 2010. The forum was organized before the project system was set-up i.e. before TRCS opened their bank ac for the project money. Hence, the amount is disbursed via UNDP and it has to be under the budget line that UNDP can utilize directly	OK. This section has been revised according to the additional evidence provided.
UNDP YT14. Section 3.2.4. Project Finance Incomplete (sentence).	OK. This sentence has been completed.
UNDP SK15. Section 3.2.6. UNDP and Implementing Partner Implementation / Execution UNDP organized a project cycle management training in 2011, which 3 TRCS members and 1 SDF member joined. TRCS members and project management unit participated in the FACE FORM training twice. However, in my view, I also think that UNDP should provide 'project management training' every year (at least for those projects under the ENV Unit) as part of capacity building process. This may worth include in the recommendation – for your consideration.	OK. This paragraph has been revised according to the additional evidence provided.
UNDP YT16. Section 3.3.3. Efficiency By reading the context, this "not" should not be here, right? In other words, there was no evidence that the methodologies were adopted.	Correct. The "not" was deleted from sentence.
UNDP YT17. Section 3.3.6. Sustainability (Financial Risks) This is not clear.	OK. This statement has been clarified.
UNDP SK18. Section 3.3.7. Catalytic Role Siam Cement Group?	OK, change has been made.
UNDP SK19. Section 4.1. Recommendations I think these are good and sound recommendations but it may be better to separate on what are the recommendations specific to the project and which are the recommendations regarding climate change adaptation projects in general. For example, the recommendations on EIA, land use, hard measures will be beyond the scope of this project or any follow-up that can be done. Also, that the post-M&E or Post Assessment will be almost impossible to do without support from line agencies themselves.	Agreed. The recommendations have been split accordingly.

Comment	Response by Evaluation Team
This is because the project will come to a close and there is no budget left. UNDP do not any un-earmarked budget to do these kind of follow-up activities. The only viability on UNDP side will be to take these into account in formulating the next adaptation projects.	
UNDP YT20. Section 4.1. Recommendations This recommendation is not very clear. What is argued here is clear as a normative direction for financing CCA actions in general, but within the context of this project, this seems too broad as a recommendation.	Agreed. This recommendation has been removed.
Comment #1 from Project Board Meeting held on 14 May 2014 **TRCS.** The report could be more accurate to say that the management of Relief and Community Health Bureau (RCHB), which is the focal unit in conducting this project in TRCS, has the full ownership on the project (which I think they are - considering their continuous support and engagement in the project). However, the larger system of TRCS (i.e. the financial and administrative) is not supportive to the project implementation, as they are very big and very complicated.	The following statement has been added to Section 3.2.6: In summary, while the management of RCHB had full ownership of the Project, project implementation faced administrative constraints due to the fact that not all units in TRCS were involved in the operation of this project and did not have the same recognition of the Project.
Comment #2 from Project Board Meeting held on 14 May 2014 Although the board agreed on the rating of the evaluation, they suggested that the narratives of the assessment could reflect also that despite the shortfalls and the constraints of the project, it did form a good stepping stone as one of the very first pioneer in translating climate change adaptation into local actions and did provide potential entry points to develop further.	The following statement has been added to the Executive Summary, in the beginning of the Major Achievements and Strengths section: Despite some constraints in implementation and stakeholder involvement, the Project was one of the first initiatives in the country where climate change adaptation was demonstrated through community-based actions. The Project made meaningful contributions to the capacity of the target communities and subnational government administrations, and provided potential entry points to develop further. Some of the major achievements and strengths of the Project are outlined below.
Comment #3 from Project Board Meeting held on 14 May 2014 **Executive Summary, Key Shortcomings:** Climate change adaptation insufficiently advocated SDF. The agro-forestry (growing other trees in rubber plantation) is not meant primarily for economic purpose. It is planned as a direct response to climate change. From the Tachied watershed VCA (by the upstream, midstream and downstream, it was consistent that the weather pattern had changed in their areas, indicated by late rainy season and more heavy and prolonged rainfalls, resulting in prolonged flooding in the whole watershed. Growing trees in rubber plantations in upstream area will reduce risks from rapid and prolonged flooding for the whole watershed. So, they think this is not a 'business as usual' which in most cases is 'mono-cropping'.	Based upon interviews with farmers during the TE mission, the evaluation team learned that approx. 60% of the rubber tree plantations in the upstream Tachied basin are implementing agro-forestry, independently from Project-supported efforts (see Annex 3 of this report, 20 March site visit). The evaluation team, however, agrees to modify this section by adding the following statement: Continued increases in agro-forestry coverage could have an eventual influence on reducing flood risks, such as intensive erosion in upland areas.

Comment	Response by Evaluation Team
Comment #4 from Project Board Meeting held on 14 May 2014 SDF. They argued that their approach to address climate change adaptation based on the eco-system rather than administrative system (village, tambon, district) in Phattalung is an innovative approach. The watershed network to address CC issues collectively and systematically is the result of the project's initiatives. They would like the report to strongly emphasize this.	The evaluation team concurs that the watershed approach be highlighted in the report. The following revisions were made: Executive Summary: the benefits of addressing community-based adaptation measures on an ecosystem scale were indicated under the first Major Achievement. Section 3.3.1, Outcome 2: similarly, the watershed principle was highlighted in this section.
Comment #5 from Project Board Meeting held on 14 May 2014 SDF. SDF continues to promote CCA through every possible channel. For example, they get budget from the Office of Women's Affairs and Family Development, Ministry of Social Development and Human Security to train women in the South. So, SDF and DDPM had jointly developed a training curriculum on roles of women in community-based CCA based on the project's experience	This information has been added in Section 3.3.7 of the report.
Comment #6 from Project Board Meeting held on 14 May 2014 SDF. About the project duration, SDF agrees with the TE team that three years was too short, especially in aiming to have impact on the provincial plan. However, SDF suggests pointing out more specifically that there was not enough time to develop a strategy to ensure active and continual engagement of government sector in the project implementation.	The evaluation team does not fully agree that there was insufficient time to develop a strategy. We feel rather that it was a question of stakeholder involvement at the provincial level; which is reflected in our conclusions.
Comment #7 from Project Board Meeting held on 14 May 2014 SDF. SDF agrees that the project should have indicators which reflect intangible results/changes from the project. For example Outcome 1: Increased awareness of the communities can be measured in terms of the CCA activities as well as changes in their attitudes and behaviors in their daily living.	The evaluation team concurs with this, and it is reflected in one of our recommendations included in the report for future directions.
Comment #8 from Project Board Meeting held on 14 May 2014 SDF. In identifying strengths and weakness, the report should explain where possible factors contributing to such strengths and shortcomings.	The evaluation team feels that sufficient evidence was provided throughout the report to support conclusions made.

Annex 9: Terms of Reference

ANNEX 2: TERMINAL EVALUATION TERMS OF REFERENCE

POSITION TYPE:

This TOR is for the recruitment of **"International Consultant"** on Terminal Evaluation, see qualifications of International consultant (Team leader) in Team Composition Section on page 7 of this document.

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the "Strengthening the Capacity of Vulnerable Coastal Communities to address the Risk of Climate Change and Extreme Weather Events" (PIMS 3771 CC FSP : SCCF)

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

Project Title:	Strengthening the Capacity of Vulnerable Costal Communities to address the Risk of Climate Change and Extreme Weather Events			
GEF Project ID:	PIMS 3771 CC FSP : SCCF		*at endorsement (Million US$)*	*at completion (Million US$)*
UNDP Project ID:	00074912	GEF financing:	869,091	869,091
Country:	Thailand	IA/EA own (TRCS):	1,792,950 in-kind & parallel	1,434,360 in-kind & parallel
Region:	Asia and Pacific	UNDP:	552,822 parallel	279,722 parallel
Focal Area:	Climate Change Adaptation	Other (SDF):	359,000 parallel	287,200 parallel
FA Objectives, (OP/SP):		Total co-financing:	2,704,772	2,001,282
Executing Agency:	Thai Red Cross Society (NGO)	Total Project Cost:	3,573,863	2,870,373
Other Partners involved:	Department of Disaster Mitigation & Prevention (DDPM) Sustainable Development Foundation (SDF)	ProDoc Signature (date project began):		2010
		(Operational) Closing Date:	Proposed: 28 February 2014	Actual: 31 March 2014

OBJECTIVE AND SCOPE

The project was designed to: increase the adaptive capacity of vulnerable coastal communities in Thailand to climate change-related risks and extreme weather events. To increase the resilience of these people, it is necessary to integrate climate change adaptation into provincial development plans and sector policies.

Three provinces in southern Thailand have been selected for the project implementation: Nakhon si Thammarat, Phattalung, and Trang. The project will strengthen the adaptive capacity of vulnerable coastal communities in these provinces by helping communities to: a) demonstrate the development benefits of community-based adaptation (CBA) to government planners and decision-makers, and b) obtain greater policy and sustained financial support for CBA through provincial and local government development plans and budget allocations.

The lead executing agency of this project is the Thai Red Cross Society, where a Project Management Unit was established and provides overall coordination and oversight for the project implementation. The project receives high level guidance and oversight from a Project Board. TRCS is working with the Department of Disaster Mitigation & Prevention (DDPM) of the Ministry of Interior (MOI) and the Sustainable Development Foundation (SDF) while SEA-START provides technical inputs especially in the area of climate risk assessments.

The project's objective, outcomes and outputs covered by the entire project duration include:

Project Objective: To integrate the climate change vulnerabilities and adaptation options of coastal communities into the development of planning processes in three provinces of southern Thailand.

Outcome 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities.

Output 1.1: Climate change vulnerabilities and adaptation options of 10 target communities systematically analysed and documented through participatory and gender-sensitive climate change Vulnerability and Capacity Assessments (VCA).

Output 1.2: Key public service providers and decision-makers at the sub-district and village levels have an increased ability to integrate climate change risk reduction and community-based adaptation into coastal development planning.

Output 1.3: Priority community climate risk reduction proposals integrated into Community Development Plans and submitted for approval and financing by sub-district government.

Output 1.4: Increased TRCS & DDPM capacity for integrating climate change risks into DRM planning and practice.

Outcome 2: Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities.

Output 2.1: Up to 10 small-scale adaptation grants provided to target communities to demonstrate priority climate risk reduction measures identified in their Climate Risk Reduction (CRR) Action Plans.

Output 2.2: The effectiveness and adaptation potential of at least 2 community-based adaptation measures in the targeted coastal sub-districts is systematically assessed.

Outcome 3: Integration of climate change adaptation into provincial development plans and sector policies.

Output 3.1: Priority community climate risk reduction proposals submitted for provincial government approval and financing.

Output 3.2: Provincial decision-makers, planners and line ministry staff in 3 target provinces understand climate change risks and know how to integrate climate risk reduction measures into coastal development planning.

Output 3.3: Recommendations for strengthening coastal climate risk reduction and community-based adaptation developed and discussed with provincial decision-makers.

Outcome 4: Project knowledge captured, disseminated and replicated through dedicated follow-up activities.

Output 4.1: Project knowledge and lessons learned systematically analysed and documented.

Output 4.2: Increased awareness of climate change risks and community-based adaptation options and experiences among coastal communities in Thailand.

Output 4.3: Project knowledge and lessons learned disseminated nationally and internationally through websites, adaptation networks, the media and public events.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

An overall approach and method[1] for conducting project terminal evaluations of UNDP supported GEF financed projects have developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects (http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf). A set of questions covering each of these criteria have been drafted and are included with this TOR (*Annex C*) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Bangkok, Pattalung, Nakon Sri Thammarat, and Trang. Interviews will be held with the following organizations and individuals at a minimum:

- An opening meeting with the National Project Director (NPD), Project Management Unit (PMU), Responsible Parties, Field Teams, Beneficiaries, UNDP CO, and, UNDP APRC
- Group and individual interviews with stakeholders listed below;
- Site visits: Nakhon Si Thammarat, Pattalung, and Trang
- An "exit" meeting to discuss the findings of the assessment with TRCS, SDF, SEA-START, DDPM, project staff and UNDP, prior to the submission of the draft Final Report.

[1] For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163

Stakeholders to be interviewed will be finalized during the initiation phase of the TE in consultation with TRCS and UNDP.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in Annex B of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** The extent to which the management arrangement of the project is contributing to the project performance should also be included in the assessment. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex D.

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

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be provided by the project team, including annual expenditures, for analysis to be carried out by the evaluator(s). Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below,

Co-financing (type/source)	UNDP own financing (mill. US$)		TRCS (NGO) (mill. US$)		Partner Agency (SDF) (mill. US$)		Total (mill. US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants	552,822	279,722					552,822	279,722
Loans/ Concessions								
• In-kind support			1,792,950	1,434,360	359,000	287,200	2,151,950	1,721,560
• Other								
Totals	552,822	279,722	1,792,950	1,434,360	359,000	287,200	2,704,772	2,001,282

which will be included in the terminal evaluation report.

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in adaptation capacity, b) verifiable reductions in vulnerability to climate change, and/or c) demonstrated progress towards these impact achievements.[2]

CONCLUSIONS, RECOMMENDATIONS & LESSONS

[2] A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: ROTI Handbook 2009

The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in *Thailand.* The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

EVALUATION TIMEFRAME

The total duration of the evaluation will be *20* working days, over the period from 27 January to 28 February, 2014, according to the following tentative plan:

Activity	Timing	Completion Date
Preparation	*2* days	*29 January 2014*
Evaluation Mission	*7* days	*7 February 2014*
Draft Evaluation Report	*5* days	*17 February 2014*
Final Report	*2* days	*24 February 2014*

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on approach, methodology, and work plan	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

TEAM COMPOSITION

The evaluation team will be composed of *2 evaluators.* The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage.

The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications:

A) International consultant (Team leader)

- Post-Graduate in environmental studies, development studies, social sciences and/ or other related fields
- Minimum *10* years of relevant professional experience in Climate Change Adaptation, Disaster Risk Reduction and/or Sustainable Livelihoods Projects
- Minimum of five years of project evaluation and/or implementation experience in the result-based management framework, adaptive management and UNDP or GEF Monitoring and Evaluation Policy
- Knowledge of UNDP and GEF
- Previous experience with results-based monitoring and evaluation methodologies;
- Familiarity in similar country or regional situations relevant to that of 'Strengthening the Capacity of Vulnerable Coastal Communities to address the Risk of Climate Change and Extreme Weather Events' Project
- Experience with multilateral and bilateral supported climate change adaptation projects
- Comprehensive knowledge of international climate change adaptation best practices
- Very good report writing skills in English

B) National consultant (Team member)

- Post-graduate in environmental studies, development studies, social sciences and/ or other related fields with at least ten years of project development and implementation.
- A minimum of five years of project management experience in climate change adaptation and/ or disaster risks reduction and/ or sustainable livelihoods.
- Knowledge of climate change adaptation in relations to disaster risks reduction and preparedness
- Multilateral and bilateral funded project development and implementation
- Familiarity with Thailand national development policies, programs and projects

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations'

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	At contract signing
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal

	evaluation report

ANNEX A: PROJECT LOGICAL FRAMEWORK

PROJECT RESULTS FRAMEWORK

This project will contribute to achieving the following Country Programme Outcome as defined in the CPAP: 1. Improved responsiveness and quality of social services at sub-national level of achievement of MDG Plus 2. Enhanced local democracy and meaningful participation of civil society, especially women and youth, in decision-making 4. Efficient community network in sustainable use of local natural resources and energy with engagement in policy and decision-making processes 5. Increased capacity of national focal points in addressing policy barriers to local sustainable management of natural resources and environment in selected ecosystems 6. Alternative knowledge management for community learning based on indigenous livelihoods and evidence-based empirical studies that strengthen case for pro-poor policies.
Country Programme Outcome Indicators: 1. No. of people, including women and vulnerable populations, engaged in the governance process for achievement of MDG Plus in Thailand 2. Achievement of national environmental policy targets 3. Responsive knowledge hubs that serve community needs and provide interactive communication with the public
Primary applicable Key Environment and Sustainable Development Key Result Area: Promote climate change adaptation
Applicable SOF: SCCF

	Indicator	***Baseline***	***Target***	Sources of Verification[3]	Risks and Assumptions
Overall Objective: To increase the adaptive capacity of vulnerable coastal communities in Thailand to climate change-related risks and extreme weather events					
Project Objective: To integrate the climate change vulnerabilities and adaptation options of coastal communities into development planning processes in three provinces of southern Thailand	Number of community climate risk reduction proposals mainstreamed into the Provincial Development Plans and endorsed by the Integrated Provincial Administrative Committee (IPAC)	0	At least 10 priority community climate risk reduction proposals integrated into the Provincial Development Plans of the 3 project target provinces and endorsed by their IPAC	Provincial Development Plans of the 3 target provinces & confirmation of endorsement by their IPAC	Communities perceive sufficient value in climate risk planning to invest time and effort in seeking provincial government support and financing for community-based adaptation
	Number of Provincial Action Plans with committed budget for community-based climate and disaster risk reduction	0	At least 3 Provincial Action Plans include a budget allocation for community-based climate and disaster risk reduction	Provincial Action Plans of the 3 target provinces	Provincial and subdistrict authorities and Village Chiefs perceive the development value of community-based adaptation
	Number of national policies that support the integration of community-based adaptation into	0	Community-based adaptation is strengthened at the provincial level through at least one major national policy as follows:	Feedback from DDPM and NCCC through the Project Board	Key national policy-makers such as the NCCC and DDPM recognized

[3] The project terminal evaluation report will also be an important source of verification of achievement of project objective, outcomes and outputs.

	Indicator	***Baseline***	***Target***	Sources of Verification[3]	Risks and Assumptions
	provincial development planning		- DDPM endorses recommendations developed through the project for integrating climate change risk reduction and community-based adaptation into its next Master Plan, and/or - the National Committee on Climate Change (NCCC) develops guidelines based on project results and recommendations for operationalizing the adaptation pillar of the national climate change strategy at the provincial level	Terminal Evaluation (TE) report	the development benefits of supporting community-based adpatation and take appropriate steps to integrate support for CBA through provincial development planning processes
Outcome 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities	Number of Community Climate Risk Reduction Action Plans prepared that reflect the differential vulnerabilities of different sections of society, particularly women Proportion of TAO members, including women members, with increased understanding of climate-related risks and the development benefits	0 0	At least 10 Community Climate Risk Reduction (CRR) Action Plans prepared based on participatory, gender-sensitive climate change VCAs At least 80% of all TAO members, including all women members, are aware of climate-related risks and the development benefits of community-based adaptation	The Community CRR Action Plans Baseline & end of project qualitative surveys of elected and appointed TAO members.	Local communities and TAO members perceive value in climate risk planning and have the time to engage actively in project activities.

	Indicator	***Baseline***	***Target***	Sources of Verification[3]	Risks and Assumptions
	of adaptation			TE report	
Output 1.1 Climate change vulnerabilities and adaptation options of 10 target communities systematically analyzed and documented through participatory and gender-sensitive climate change Vulnerability and Capacity Assessments (VCA) Output 1.2 Key public service providers and decision-makers at the subdistrict and village levels have increased ability to integrate climate risk reduction and community-based adaptation into coastal development planning Output 1.3 Priority community climate risk reduction (CRR) proposals integrated into Community Development Plans and submitted for approval and financing by subdistrict government Output 1.4 Increased TRCS and DDPM capacity for integrating climate change risks into DRM planning and practice					
Outcome 2 Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities	Number and impact of priority climate risk reduction measures being implemented by target communities Number of community-based adaptation measures evaluated for their effectiveness and long-term potential	0 (to be confirmed during the VCAs) 0	Up to 10 target communities implementing at least one priority climate risk reduction measure identified in their Climate Risk Reduction Action Plans (Outcome 1) and at least 50% of communities report tangible benefits as a result Scientific and technical assessments of at least 2 community-based adaptation measures implemented through small-scale project adaptation grants (Output 2.1)	Community surveys at the beginning (ie VCA reports) and end of the project TE Report	Communities are able to work cooperatively to prioritize adaptation interventions for implementation with project support Small-scale investments in community-based adaptation are able to generate demonstrable climate risk reduction benefits within project timeframe Communities remain committed to implementing and monitoring project-supported adaptation measures

	Indicator	***Baseline***	***Target***	Sources of Verification[3]	Risks and Assumptions
					Meaningful scientific and technical assessments of demonstrated adaptation measures is possible within the available timeframe and budget.
Output 2.1 Up to 10 small-scale adaptation grants provided to target communities to demonstrate priority climate risk reduction measures identified in their Climate Risk Reduction Action Plans Output 1.2 The effectiveness and adaptation potential of at least 2 community-based adaptation measures in target coastal sub-districts systematically assessed					
Outcome 3 Integration of climate change adaptation into provincial development plans and sector policies	Number of priority community climate risk reduction proposals financed through provincial government budgets	0	At least 50% of proposals submitted by target project communities integrated into Provincial Development Plans and financed through the Provincial Action Plans	The Provincial Development Plans and Action Plans of the project target provinces	Concerned Provincial Governors and IPACs are persuaded of the value of supporting community-based adaptation through provincial development plans and budgets. The project has laid strong foundations from the very start to continually engage and inform key provincial planners and decision-makers thereby building strong interest and support for project objectives.
Output 3.1 Priority community climate risk reduction proposals submitted for provincial government approval and financing					

	Indicator	***Baseline***	***Target***	Sources of Verification[3]	Risks and Assumptions
Output 3.2 Provincial decision-makers, planners and line ministry staff in 3 target provinces understand climate change risks and know how to integrate climate risk reduction measures into coastal development planning Output 3.3 Recommendations for strengthening coastal climate risk reduction and community-based adaptation developed and discussed with provincial decision-makers					
Outcome 4 Project knowledge captured, disseminated and replicated through dedicated follow-up activities	Number of dedicated follow up activities to systematically document and disseminate project knowledge and lessons learned	0	Project knowledge and lessons learned shared nationally and internationally through the following minimum number of activities: a) one analytical paper documenting key lessons learned, including the current and potential role of women in CBA, with recommendations for integrating CBA into decentralized development planning in Thailand b) 1 national conference on CBA in Thailand c) at least 8 field visits to project demonstration sites by target and non-target communities in the target provinces to promote cross-community learning d) project knowledge and lessons learned disseminated through at least 2 national websites and 2 international climate change	TE report a) The published paper b) The conference proceedings c) Community field visit reports and other community feedback d) TRCS and DDPM websites, the ALM, the IFRC Climate Change Centre website and	Knowledge and lessons are systematically captured, analyzed and documented throughout project implementation. There is strong interest in climate change adaptation and in learning from the experiences of other communities. The platforms are still functional and their 'owners' continue to see value in sharing project information through these platforms

	Indicator	***Baseline***	***Target***	Sources of Verification[3]	Risks and Assumptions
			adaptation platforms	the regional Adaptation Knowledge Platform	
Output 4.1 Project knowledge and lessons learned systematically analyzed and documented Output 4.2 Increased awareness of climate change risks and community-based adaptation options and experiences among coastal communities in Thailand Output 4.3 Project knowledge and lessons learned disseminated nationally and internationally through websites, adaptation networks, the media and public events					

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

Prior to engagement and visiting the PMU, Terminal Evaluation Team shall receive all the relevant documents including at least:

- 'Strengthening the Capacity of Vulnerable Coastal Communities to address the Risk of Climate Change and Extreme Weather Events' Project Document and Project Brief
- Inception Report
- Annual Work and Financial Plans
    - Annual Project Report/Project Implementation Final Evaluation(API/PIR) for 2011
    - Minutes of Project Board and Core Team Meetings
    - Back-to-Office Mission Reports
- Annual Project Review (APR)/Project Implementation Review (PIR) for 2012 and 2013

To provide more details, as may be needed, the following will be made available for access by the Final Evaluation Team:

Executive summary of all quarterly reports

- Internal monitoring results
- Terms of Reference for past consultants' assignments and summary of the results
- Past audit reports
- Mid-term review report
- Other knowledge products produced by the project

ANNEX C: EVALUATION QUESTIONS

The following list of questions will be finalized during the initiation period of the TE in consultation with project partners and UNDP

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
• To what extent is the principle of the project in line with the national priority of DRM/CCA?	• Level of participation of the concerned agencies in project activities	• Minutes of Meetings • Project Progress Reports	• Desk review and interviews
• To what extent is the project objective supporting the policies or priorities of DDPM and ONEP?	• 1 national conference on CBA in Thailand • Adoption of lesson learned reports/ case studies of the project in guidelines, manuals, plans of the concerned agencies	• Manuals • Progress Reports	• Desk review • Consultation with DDPM and ONEP staff
• Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
• Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities	• Number of Community Climate Risk Reduction Action Plans prepared that reflect the differential vulnerabilities of different sections of society, particularly women • Proportion of TAO members, including women members, with increased understanding of climate-related risks and the development benefits of adaptation	• VCA reports	• Desk reviews and interviews
• Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities	• Number and impact of priority climate risk reduction measures being implemented by target communities • Number of community-based adaptation	• Progress Reports • Final Project Review • Midterm Evaluation Report	• Desk reviews and interviews

	measures evaluated for their effectiveness and long-term potential		
• Integration of climate change adaptation into provincial development plans and sector policies	• Number of priority community climate risk reduction proposals financed through provincial government budgets	• Progress Reports • Final Project Review • Midterm Evaluation Report	• Desk reviews and interviews
• Project knowledge captured, disseminated and replicated through dedicated follow-up activities	• Number of dedicated follow up activities to systematically document and disseminate project knowledge and lessons learned	• Progress Reports • Final Project Review • Midterm Evaluation Report • Knowledge products	• Desk reviews and interviews
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
• The extent of achievement of project objective and Outcomes according to the proposed budget	• Percentage of expenditures in proportion with the results	• Progress Reports • Project Implementation Reviews	• Desk reviews and interviews
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
• Resource mobilization of domestic resources to finance community priority action plans	• Availability and amount of provincial or sub-district budget allocations	• Progress Reports • Project Implementation Reviews	• Desk reviews and interviews
• Integration of climate risks into the subnational planning process	• Likelihood of vulnerability assessments organically conducted by sub-district administrations	• Progress Reports • Project Implementation Reviews	• Desk reviews and interviews
• Institutional capacity for supporting DRM activities at the subnational level	• Awareness among provincial and ministerial officers about climate risks	• Progress Reports • Project Implementation Reviews	• Desk reviews and interviews
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced vulnerability and/or improved adaptive capacity status?			
• Project attributable contributions to vulnerability reduction in	• Effectiveness of community priority	• Progress Reports	• Desk reviews and interviews

coastal communities	adaptation actions	• Project Implementation Reviews	

ANNEX D: RATING SCALES

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	***Sustainability ratings:***	***Relevance ratings***
6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML):moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1.. Not relevant (NR) ***Impact Ratings:*** 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form[4]

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant)**:** _____

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

Signed at *place* on *date*

Signature: _____

[4] www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE[5]

i. Opening page:

- Title of UNDP supported GEF financed project
- UNDP and GEF project ID#s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program/Strategic Program
- Implementing Partner and other project partners
- Evaluation team members
- Acknowledgements

ii. Executive Summary

- Project Summary Table
- Project Description (brief)
- Evaluation Rating Table
- Summary of conclusions, recommendations and lessons

iii. Acronyms and Abbreviations

(See: UNDP Editorial Manual[6])

1. Introduction

- Purpose of the evaluation
- Scope & Methodology
- Structure of the evaluation report

2. Project description and development context

- Project start and duration
- Problems that the project sought to address
- Immediate and development objectives of the project
- Baseline Indicators established
- Main stakeholders
- Expected Results

3. Findings

(In addition to a descriptive assessment, all criteria marked with (*) must be rated[7])

3.1 Project Design / Formulation

- Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management

[5] The Report length should not exceed *40* pages in total (not including annexes).

[6] UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

[7] Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____