Terminal Evaluation of the UN Environment Project

"Ecosystem Based Adaptation for Mountain Ecosystems (Nepal, Peru and Uganda)"

FINAL REPORT

Evaluation Office of UN Environment

May 2017

Evaluation Office of UN Environment

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For further information on this report, please contact:

Evaluation Office of UN Environment
P. O. Box 30552-00100 GPO
Nairobi Kenya
Tel: (254-20) 762 3389
Email: chief.eou@unep.org

Ecosystem based adaptation for mountain ecosystems
00609/1866
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There are far too many people to mention by name, and hopefully everyone who contributed is included in the lists of names annexed to this report (Annex III - C and D), but special mention must be made of the UN Environment Evaluation office, UN Environment, UNDP and IUCN project teams, as well Nepal's Ministry of Forest and Soil Conservation, Peru's Ministry of Environment (MINAM) and the Uganda's Ministry of Water and Environment, who gave magnanimously their time to this evaluation. Special thanks go to Tiina Piiroinen of the UN Environment Evaluation Office for the coordination, overall guidance, direction and quality assurance of the entire evaluation process; the UNEP Project team - Musonda Mumba (the Project Coordinator) and Essey Daniel, the Associate Programme Office; the UN Environment Fund Management Office - Shakira Khawaja (the Fund Management Officer) and Evans Koech for their technical inputs to the evaluation process. We also thank the UNDP and IUCN project teams in Nepal, Peru and Uganda for their technical inputs and for providing a platform for full participation of the project stakeholders and beneficiaries. The views and information provided by project teams, stakeholders and beneficiaries in Nepal, Peru and Uganda are also highly appreciated.

Evaluation team
Revocatus Twinomuhangi – Lead Consultant
Clemencia Vela – Team Member

Evaluation Office of UN Environment
Tiina Piiroinen – Evaluation Manager
Mela Shah – Evaluation Programme Assistant

ABOUT THE EVALUATION[1]

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Brief Description: This report is a terminal evaluation of a UN Environment project implemented between 2010 and 2016. The project's overall development goal was to strengthen the capacity of countries that are particularly vulnerable to climate change impacts, to build ecosystem resilience for promoting ecosystem based adaptation options and to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, UNDP, IUCN, the Government of Germany and the relevant agencies of the project participating countries.

Key words: climate change; climate change adaptation; ecosystem based adaptation; EbA; ecosystem management; ecosystem resilience; mountain ecosystems; project evaluation; TE; terminal evaluation

[1] *This data is used to aid the internet search of this report on the Evaluation Office of UN Environment Website*

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List of acronyms & abbreviations

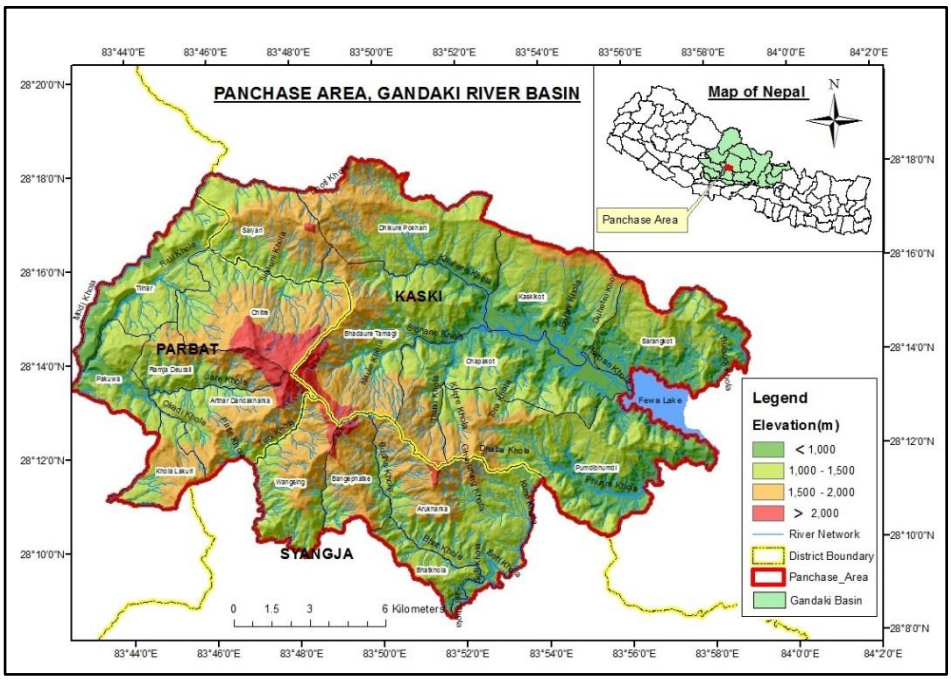
AAKNet	Africa Adaptation Knowledge Network
AF	Adaptation Fund
AKP	Adaptation Knowledge Platform for Asia
ALM	Adaptation Learning Mechanism
APAN	Asia-Pacific Adaptation Network
BMUB	German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
CBA	Cost-Benefit Analysis
CBD	Convention on Biological Diversity
CBDP	Community Based Disaster Preparedness
CC	Climate Change
CCA	Climate Change Adaptation
CC SP	Climate Change Sub-Programme
CDC-UNALM	Centro de Datos para la Conservación Universidad Nacional Agraria La Molina
CDKN	Climate and Development Knowledge Network
CFUGs	Community Forest User Groups
CIGI	Centre for International Governance Innovations
CONAM	National Environment Council (Consejo Nacional del Ambiente)
DDCs	District Development Committees
DDPs	District Development Plan
DEWA	Division of Early Warning and Assessment
DGCCDRH	General Address on Climate Change, Desertification and Water Resources
DLG	District Local Governments
DNPWS	Department of National Park and Wildlife Conservation
DNRO	District Natural Resource Officer
DoF	Department of Forests
DRC	Division of Regional Cooperation
DRR	Disaster Risk Reduction
DTIE	Division of Technology, Industry and Economics
EA	Expected Accomplishment
EbA	Ecosystem Based Adaptation
ECCO	Environment and Climate Change Outlook
EF	Environment Fund (UN Environment)
EIA	Escuela de Ingeniería de Antioquía (Engineering School of Antioquia)
EICES	Earth institute for Environmental Sustainability
FEBA	Friends of Ecosystem Based Adaptation
FEP	Facultad de Economía y Planificación Universidad Nacional Agraria La Molina
FPCC	Field level Project Coordination Committee
GAN	Global Adaptation Network
GCF	Green Climate Fund
GEF	Global Environment Facility
GEO	Global Environment Outlook
GFS	Gravity Flow Scheme
GMI	Global Mountain Institute
GoN	Government of Nepal
GoP	Government of Peru
GoU	Government of Uganda
GSC	Global Project Steering Committee
IA	Internal Agreement
ICI	International Climate Initiative (of the BMUB)
ICIMOD	International Centre for Integrated Mountain Development
IISD	International Institute of Sustainable Development
INDC	Intended Nationally Determined Contributions
IRI	International Research Institute for Climate and Society
IUCN	International Union for Conservation of Nature
LAC	Latin America and the Caribbean

LDCF	Least Developed Countries Fund (LDCF)
LoA	Letter of Agreement
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MET	Ministry of Economy and Finance (Ministerio de Economía y Finanzas)
MI	Mountain Institute
MINAM	Ministry of Environment, Peru (Ministerio del Ambiente)
MoFPED	Ministry of Finance, Planning and Economic Development, Uganda
MoAD	Ministry of Agricultural Development, Nepal
MoFSC	Ministry of Forest and Soil Conservation, Nepal
MOPE	Ministry of Population and Environment, Nepal
MoU	Memorandum of Understanding
MTE	Mid Term Evaluation
MTR	Mid Term Review
MTS	Medium Term Strategy (of UNEP)
MWE	Ministry of Water and Environment, Uganda
NAPA	National Adaptation Programme of Action
NDCs	Nationally Determined Contributions
NDP	National Development Plan, Uganda
NDP II	Second National Development Plan, Uganda
NCCP	National Climate Change Policy, Uganda
NCCPC	National Climate Change Policy Committee, Uganda
NIE	National Implementing Entity
NPA	National Planning Authority, Uganda
NPSC	National Project Steering Committee
NWP	Nairobi Work Programme (of the UNFCCC)
NYCLR	Nor Yauyos Cochas Landscape Reserve (Reserva Paisajística Nor Yauyos Cochas)
PEB	Project Executive Board
PEI	Poverty Environment Initiative
PES	Payment for Ecosystem Services
PFD	Programme Framework Document
PIMS	Project Information Management System
PMER	Panchase Mountain Ecological Region
PoW	Programme of Work
PPF	Panchase Protection Forest
PPFA	Panchase Protection Forest Area
PPFP	Panchase Protection Forest Programme
ProDoc	Project Document
ProNaMI	National Mitigation Programs (Programas Nacionales de Mitigacion)
PSC	Project Steering Committee
PUCP	Pontificia Universidad Católica del Perú
QAS	Quality Assurance Section
RBM	Results-Based Management
REDD	Reducing Emissions from Deforestation and Forest Degradation
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action (LAC region)
ROtI	Review of Outcomes to Impacts
SBSTA	Subsidiary Body for Science and Technological Advice (of the UNFCCC)
SDGs	Sustainable Development Goals
SCCF	Special Climate Change Fund
SENAMHI	National Meteorological and Hydrological Service
SERNANP	National Service of Natural Protected Areas (Servicio Nacional de Areas Naturales Protegidas)
SINANPE	National System of Protected Areas by the State
SNNP	Shivapuri Nagarjun National Park, Nepal
SPDEU	Strategic Planning and Development Effectiveness Unit (of UNDP Nepal)
TE	Terminal Evaluation
TMI	The Mountain Institute (Instituto de Montaña)
TOC	Theory of Change
ToRs	Terms of Reference

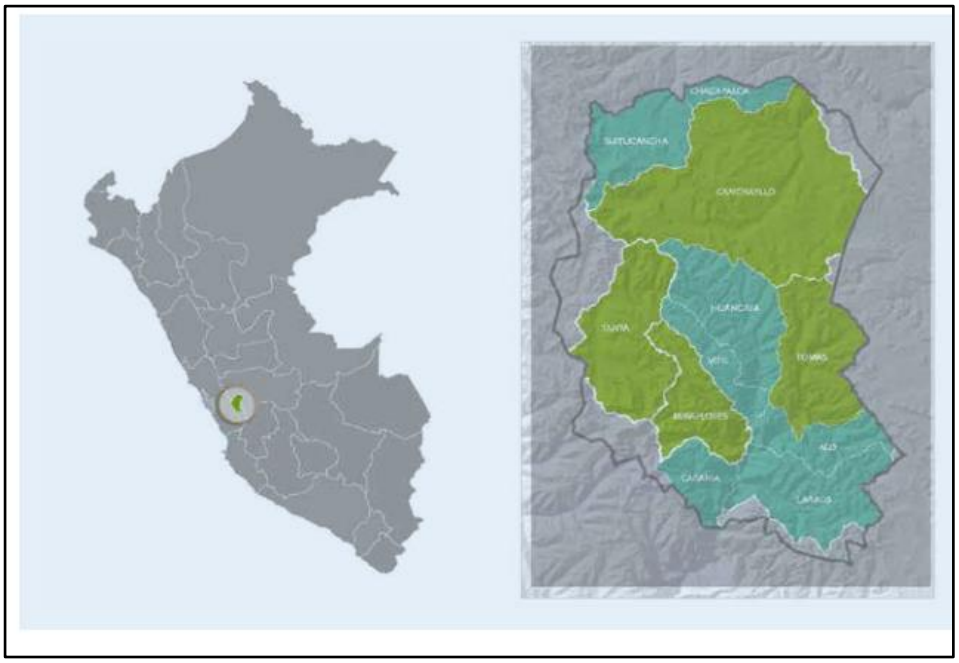
TU-CDES	Tribhuvan University - Central Department of Environmental Science
UN	United Nations
UNCCD	The United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UN Environment	United Nations Environment Programme
UNEP EOU	United Nations Environment Programme, Evaluation Office
UNFCCC	United Nations Framework Convention on Climate Change
VIA	Vulnerability and Impact Assessments (Climate Change)
VDC	Village Development Committee(s)
WRFD	Western Region Forest Directorate

Figure 1: Location of Project sites

A: Location of Panchase, Nepal[2]



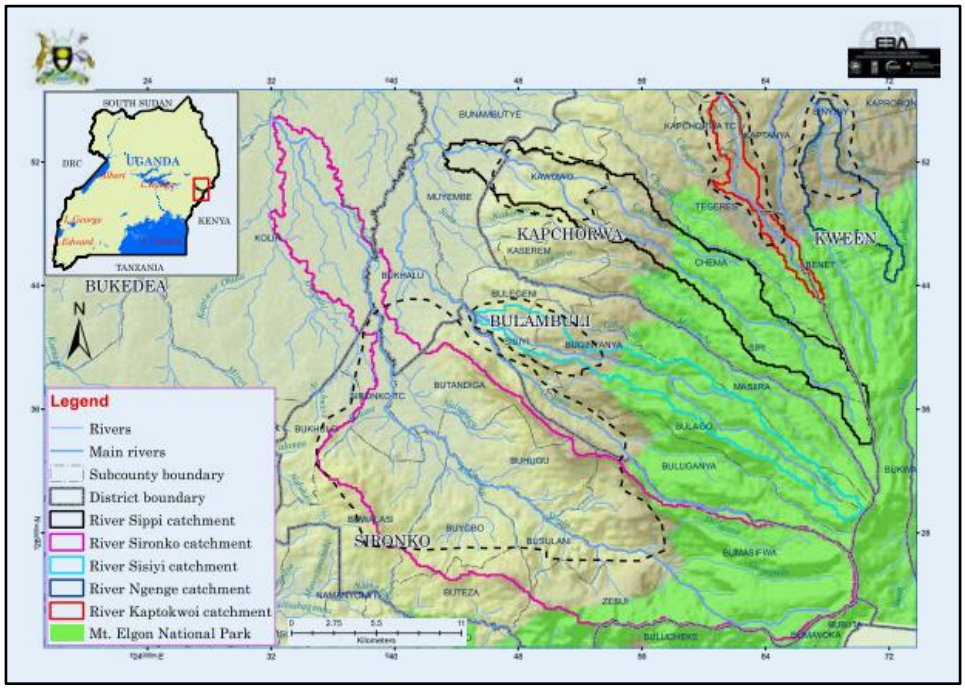
B. Location of Nor Yauyos Cochas Landscape Reserve, Peru[3]



[2] Government of Nepal, & UNDP, 2015. Preparation of Watershed Management Plan for Panchase Area, Kaski, Parbat and Syangja Report. Ecosystem Based Adaptation in Mountain Ecosystems (EbA) Nepal Project.

[3] Dourojeanni, P, Fernandez-Baca, E, Giada, S, Leslie, J, Podvin K & Zapata, F., 2015. Vulnerability Assessments for Ecosystem based Adaptation: Lessons from the Nor Yauyos Cochas Landscape Reserve in Peru.

C. Location of Mt. Elgon, Uganda[4]



[4] Ministry of Water and Environment & UNDP, 2013. Vulnerability Impact Assessment (VIA) for the Mt Elgon Ecosystem, Uganda. Ecosystem Based Adaptation in Mountain Ecosystem Project.

Table 1: Project Identification Table

UN Environment PIMS ID:	00609/1866	IMIS number:	3A93 / -
UN Environment Sub-programme:	Climate Change	Expected Accomplishment(s):	EA(a)
UN Environment approval date:	24 June 2010 (00609) 23 March 2015 (1866)	Programme of Work Output(s):	2010/11-112 2010/11-113 2010/11-114 2012/13-111 2012/13-112 2012/13-113 2012/13-114 2014/15-112
Expected Start Date:	1 January 2010 (00609) 1 February 2015 (1866)	Actual start date:	24 June 2010 (00609) 13 March 2015 (1866)
Planned completion date:	31 December 2014 (00609) 30 June 2016 (1866)	Actual completion date:	30 June 206
Planned project budget at approval:	15,046,897*	Total expenditures reported as of [31 December 2015]:	US$ 12,189,504
Planned Environment Fund (EF) allocation:	0	Actual EF expenditures reported as of [date]:	0
Planned Extra-budgetary financing (XBF):	0	Actual XBF expenditures reported as of [date]:	0
XBF secured:	US$ 4,287,210	Leveraged financing:	0
First Disbursement:		Date of financial closure:	On-going
No. of revisions:	3 (00609) 0 (1866)	Date of last revision:	-
Date of last Steering Committee meeting:			
Mid-term review/ evaluation (planned date):		Mid-term review/ evaluation (actual date):	Uganda: September 2014 Nepal: January 2015 Peru: Not conducted
Terminal Evaluation (planned date):	May 2016	Terminal Evaluation (actual date):	June 2016 to April 2017

* The project received funding from BMUB of EUR 11.5 million or USD 15,046,897 (less of the programme support and fiduciary costs). Project support from BMUB at the beginning of the project in 2010 was EUR 10 million. An additional EUR 1.5 was provided by BMUB when the project was revised in 2013 and another component added together with an extension until 31st December 2015. In 2015 another extension until 30th June 2016 was granted.

Executive summary

Introduction

The project “Ecosystem Based Adaptation (EbA) for Mountain Ecosystems”, herein after called the EbA Mountain Project, was implemented in three countries (Nepal, Peru and Uganda) by the United Nations Environment Programme (UN Environment), United Nations Development Programme (UNDP) and International Union for Conservation of Nature (IUCN) over a six-year period, 2010-2016. Implementation of the project in countries was in collaboration with Governments of Nepal (Ministry of Forest and Soil Conservation – MoFSC), Peru (Ministry of Environment – MINAM) and Uganda (Ministry of Water and Environment – MWE).

The need for the project emanated from the recognition that mountain regions are being degraded and that communities living in these regions are highly vulnerable to climate change. However, mountain regions are important sources of natural resources, are storehouses of biological diversity, hence essential part of the global ecosystem. In addition, mountains are also a key element of the hydrological cycle, being the source of many of the world's major river systems. Furthermore, mountain ecosystems are also important in relation to climate change adaptation due to their integral role in hydrological cycles. These factors made mountain ecosystems an important area of focus for the EbA Mountain Project.

The Project was implemented in Nepal, Peru and Uganda with an aim to use Ecosystem Based Adaptation (EbA) approaches to reduce vulnerability by building ecosystem resilience of the project sites while at the same time ensuring the improved livelihoods and well-being of people. The national adaptation policy documents of the countries identified that mountain ecosystems and communities of the Panchase region (Nepal), Andes (Peru) and Mt. Elgon (Uganda) were highly vulnerable to climate change impacts and hence it was critical to build ecosystem resilience.

The goal of the project was “to strengthen the capacity of countries that are particularly vulnerable to climate change impacts, to build ecosystem resilience for promoting ecosystem based adaptation options and to reduce the vulnerability of communities with particular emphasis on mountain ecosystems". The project had four initial components, with a fifth one added mid-way through implementation: (1) development of methodologies and tools for Ecosystem based Adaptation decision making in mountain ecosystems; (2) application of methodologies and tools at ecosystem level; (3) implementation of Ecosystem based Adaptation pilots at ecosystem level; (4) development of business case for Ecosystem based Adaptation at the national level; and the additional component (5) development of a learning and knowledge management framework. UN Environment led implementation of components 1, 2 and 5, UNDP and IUCN implemented component 3, and UNDP also implemented component 4.

The major objective of the terminal evaluation was to assess project performance (in terms of relevance, effectiveness and efficiency), determine its outcomes and impacts as well as their sustainability, and to identify valuable lessons learnt.

Evaluation methodology

The findings of the evaluations were based on a desk review of project documents, key informant interviews, group discussions and field visits to pilot sites in Nepal, Peru and Uganda as well as evaluation of the technical aspects of the projects that have been implemented. Country-specific documents related to climate change adaptation, development and environment were also reviewed prior to and after the field mission. UN Environment documents related to strategies, policies and programming, and evaluation were also reviewed.

Progress made towards achievement of project objectives and impacts was examined using a reconstructed Theory of Change and Review of Outcomes to Impacts analysis.

Summary of the main evaluation findings

A. Strategic relevance:

The Project's objectives and implementation were aligned to the countries development and environmental needs and priorities. For Nepal, the project was aligned to Nepal's Three Year Plan (TYP) for the period 2010/11-2013/14, which was aimed at promoting green development, making development activities climate-friendly, mitigating the negative impacts of climate change and promoting adaptation. In addition, the project was relevant to Nepal's National Adaptation Programme of Action (NAPA), which recognizes that Nepal's high vulnerability to climate change is due to the country's fragile topography, deforestation and eroded soils.

For Peru, the project is highly consistent with the country's National Climate Change Strategy that, among others, promotes increased climate change adaptive capacity and reducing vulnerability. For Uganda, the project was highly consistent with the Uganda Vision 2040, NAPA and the National Development Plan, which recognize the need for building resilience to climate change while at the same time reducing poverty.

The project was aligned to the countries' UNDAFs. For UN Environment, the project was aligned to the programmatic objectives and expected accomplishments on climate change adaptation in the UN Environment Mid-Term Strategy (MTS) 2010–2013, and the Bali Strategic Plan for Technology Support and Capacity-building.

B. Achievement of outputs:

The Project satisfactorily delivered outputs within the planned budget and time frame. Achievement against project outputs under all the four components was highly satisfactory. Under component 1, the UN Environment World Conservation Monitoring Centre developed Ecosystem Based Adaptation tools and methodologies: ecosystem resilience guidance paper that was used to raise awareness on Ecosystem Based Adaptation as well as a Vulnerability Impact Assessments (VIA) tool that was customised and used to conduct participatory Vulnerability Impact Assessments in countries. Under component 2 participatory Vulnerability Impact Assessments were conducted in the Panchase region (Nepal), the Nor Yauyos Cochas Landscape Reserve in Peru and Mt. Elgon in Uganda. Through the Vulnerability Impact Assessments the most vulnerable areas were identified and selected as pilot sites: three sub-watersheds in Panchase (Harpan, Rati and Andhi), four communities in the Nor Yauyos Cochas Landscape Reserve in Peru (Tanta, Miraflores, Tomas and Canchayllo) and five river micro-catchments in Mt. Elgon (Kaptokwoi, Sipi, Ngenge Sim and Sironko) river micro-catchment in Sironko District. Appropriate Ecosystem Based Adaptation options for the pilot sites were selected in a participatory manner and implemented at ecosystem level under component 3. Community adaptation action plans were also prepared.

Under component 3, capacity enhancement activities involving training on Ecosystem Based Adaptation and study tours were organized to raise Ecosystem Based Adaptation awareness, knowledge and skills among technical staff and communities in the three countries. The prioritized Ecosystem Based Adaptation portions were implemented in the pilot sites. Ecosystem restoration, land rehabilitation, water conservation and livelihood diversification interventions were implemented in Panchase, Nepal. About 54,500 multiple-use trees and Non-Timber Forest Products were planted in degraded land and fallow lands (on 65 Ha), and 31 traditional water sources were conserved. Bio-engineering interventions were applied in 72 vulnerable sites protecting 120 ha.

In Peru, pasture and vicuña management measures were implemented. Communities were supported to fence community pastures and individual lots to prepare pasture and livestock management plans for communal farms. Hydrological infrastructure was also restored and new

channels were put in place. In Mt. Elgon, Uganda, river micro-catchment re-vegetation, soil and water conservation and livelihood improvement interventions were implemented. A total of 850 landowners planted 220,000 trees for various purposes (landscape restoration, river bank protection, shade, wind breaks, fruits and agroforestry purposes). Meanwhile 69 community groups comprising 270 households engaged in sustainable land management practices in which 63 ha was put under improved land management, 7,239 trees planted, and 23,640 meters of grassed waterways put in place. As an incentive for financing community Ecosystem Based Adaptation measures, the Payment for Ecosystem services (PES) and community conservation fund were developed and implemented. The Payment for Ecosystem services incentive involves payments for carbon sequestration through tree planting and payments for watershed services.

Under component 4, an economic case was successfully made for adoption of EbA in countries and globally. The Cost Benefit Analysis (CBA) approach was applied and it determined the cost-effectiveness of the EbA approaches piloted in countries. In Nepal, the CBA results showed that the use of broom grass and gabion walls as EbA measures were investments with a net benefit. In Peru, the results showed that adoption sustainable grassland, livestock and vicuña management in the community of Tanta was economically preferable to current management practices. In Uganda, the results showed that EbA farming practices were profitable and sustainable in the long-run compared to non-EbA farming practices. The Project in 2015, in time for 21st UNFCCC Conference of Parties (COP21), produced global publication 'Making the Case for Ecosystem based Adaptation - The Global Mountain EbA Programme in Nepal, Peru and Uganda'. The project was also successful in influencing the incorporation of Ecosystem Based Adaptation in policy and planning processes of countries. All three countries that implemented the project incorporated EbA in their Intended Nationally Determined Contributions (INDCs) submitted to UNFCCC. The countries also supported adoption of United Nations Environment Assembly resolution 1/8 on promoting ecosystem-based adaptation.

Under component 5, the project raised Ecosystem Based Adaptation awareness, and documented and disseminated relevant knowledge products and lessons learned beyond the project sites using various forums and platforms. Learning briefs, policy briefs, documentaries, popular versions of technical reports were produced and shared. The partners' websites, the UN Environment's Global Adaptation Network (GAN) and UNDPs Adaptation Learning Mechanism (ALM) were very instrumental in disseminating the project's knowledge products. Globally, presentations were made at Conferences of the Parties of United Nations Framework Convention on Climate Change and the Convention of Biological Diversity, as well as at the Community Based Adaptation Conferences. For example, at the UNFCCC COP21 an Ecosystem based Adaptation a side event was organized and was attended by the Friends of Ecosystem based Adaptation (FEBA), a global network that promotes collaboration and knowledge sharing on EbA. Adaptation learning centres were also established in both Panchase and Mt. Elgon regions respectively.

C. Effectiveness (attainment of project objectives and results)

The achievement of immediate outcomes, as defined in the reconstructed Theory of Change, for all five components is rated as 'B', indicating that the project's intended outcomes were delivered, and have forward linkages towards impact. However there is no allocation of responsibilities as the project ends. The achievement of outputs, summarized in Section A above, has contributed greatly to the success of the project. The ability of countries to plan implement and monitor Ecosystem Based Adaptation options at ecosystem level in mountain regions in countries was strengthened. Considering the high level of ownership of the project results in countries and globally, the partnerships built, and the institutionalization of the project's achievements, it is moderately likely that the project outcomes can progress into impact. The project's success has contributed to the global recognition of EbA. For example, UNEA 1/8 on Ecosystem based Adaptation was sponsored and led by project countries.

D. Sustainability and replication:

The project's prospects of sustainability are likely across three dimensions - socio-political, institutional and environmental - of project outcomes. However, financial sustainability is moderately likely. Though the governments of Peru and Nepal have begun to allocate some financial resources in their budgets to scaling up Ecosystem based Adaptation, follow-up projects or phase would further enhance the financial sustainability of the project and drive up scaling and replication. Ongoing and planned initiatives in Ecosystem Based Adaptation and overall climate change adaptation supported by the governments, and bilateral and multi-lateral donors provide excellent opportunities for sustaining project outcomes. In all the three countries, socio-political situation and institutional frameworks are currently very conducive to sustaining project outcomes. Ownership and enthusiasm at community and at national level will increase the sustainability of the project achievements.

Catalytic role and replication:

The project has been catalytic in raising awareness and knowledge on Ecosystem Based Adaptation, changing attitudes and increasing confidence of communities and policy/decision makers regarding adoption of Ecosystem based Adaptation. These could trigger replication and scale-up of Ecosystem based Adaptation, further triggering integrated government policy within countries and securing donor funding. The success of the project in catalyzing international debate has made a case for policy change and support for Ecosystem based Adaptation in United Nations Environmental Assembly, United Nations Framework Convention on Climate Change and Convention on Biological Diversity, which could increase funding for EbA application globally. Already within UN Environment funding for EbA is on the increase. However, long term impacts regarding adaptation and building resilience in countries will be more likely accrue if the Ecosystem based Adaptation approach becomes part of a wider framework for integrating Ecosystem based Adaptation and ecosystem management into planning and socio-economic development at all levels. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance of and its scaling up of practices by households, communities and national and sub-national governments.

E. Efficiency:

Project implementation was generally cost-effective and timely in achieving project targets within the planned budget and time. Cost-effectiveness was achieved through establishing strategic and strong partnerships, using a participatory approach, building on existing institutions and initiatives in climate change (co-financing), as well as selection of pilot sites in areas with ongoing projects and programmes. In addition, the project involved districts and local communities in the design and implementation of project activities. Some delays were experienced at the beginning of the project in countries caused by delay in implementation of component 1. However, this did not significantly affect overall achievement of project outputs and outcomes.

F. Factors affecting project performance:

The project experienced delays at the beginning, largely caused by delay in delivering outputs under component 1 – Ecosystem based Adaptation tools and methodologies - which delayed the start of project in countries and implementation of other project components. (In a way, the delay was institutional and beyond the control of the project). The implementation of the project by two UN agencies (UN Environment and UNDP) and the International Union for Conservation of Nature (IUCN) was particularly beneficial and synergistic, given that UNDP is a resident UN agency in the countries, and could easily provide the much-needed technical backstopping on behalf of UN Environment. Although complications were experienced at the beginning of the project regarding reporting and decision making, brought about by having two in-country implementing partners (UNDP and IUCN) that operate different reporting mechanisms and systems, reporting was later harmonized and did not significantly affect project implementation. The Project Management Units in countries were instrumental in the implementation and success of the project. The project operated a satisfactory

monitoring and reporting system. In Nepal and Uganda, Mid-Term Reviews (MTR) were conducted and the project teams adopted the recommendations. All project partners and stakeholders contributed positively to the success in project performance.

Lessons Learned

General Lessons Learned

Consider local contexts: The EbA tools and methodologies and options developed and applied considered local contexts of Panchase region, the Nor Yauyos Cochas Landscape Reserve and Mt. Elgon region. Indigenous knowledge was considered in planning and implementing Ecosystem based Adaptation options. To that end, the design and implementation of adaptation projects not only requires a strong scientific base, but also needs to be participatory – integrating local socio-economic contexts and risks to ensure sustainability and impact.

Building evidence base is crucial for policy change: The project was successful in building evidence for EbA adoption and application in countries. The results of the VIA and CBA studies and the successful application of EbA options in the pilot sites made a strong case for policy change in countries. As a result EbA was integrated in policy and planning processes in countries and also influenced global EbA debate at the UNFCCC and CBD. Therefore, projects that are aimed at influencing policy and adoption of piloted interventions should be designed and implemented in a manner that builds a strong evidence base to make a good case for adoption and policy change.

Building capacity through 'learning by doing' and demonstration: A major approach to the Ecosystem based Adaptation project's capacity building was 'learning-by-doing' involving pilots and demonstrations in which beneficiary communities and farmers simultaneously received EbA training as they applied/piloted EbA measures (no regret adaptation measures) at ecosystem level. In addition, the participatory VIAs and CBA studies were conducted at the same time as EbA measures were being piloted which enhanced learning by doing. This translated into increased strong sense of ownership of project results and the urge to scale them up. Therefore 'learning-by-doing' capacity building approach is a win-win approach that result in greater ownership of project results and impact, and should be promoted in project design and implementation.

Harmonized reporting systems by partners: While the involvement of multiple implementing partners (UN Environment, UNDP and IUCN) was advantageous for utilizing the comparative advantages of the different partners, partners had different reporting mechanisms (including financial reporting) that complicated project management. Therefore, implementation of projects with more than one implementing partner, although beneficial, requires harmonization of reporting systems so that there is single system to ease project management and decision-making. This was undertaken through the harmonized and consolidated report of the Project Implementation Report (PIR).

Place PMUs and Project Coordinators at neutral institutions: The Project Management Unit and Project Coordinators were put in place by UNDP. Some project partners looked at the PMU as a UNDP coordination Unit and the Project Coordinator as a UNDP staff member with no mandate in relation to other partners. While the UNDP-hired PMUs and PCs were specifically responsible for the implementation of UNDP-managed activities, they also played a wider role in serving all three implementing partners at country level. Because such an arrangement can create confusion, however, in future projects that involve multiple partners, Project Management Units and Project Coordinators should instead be put in place by neutral organization, and more especially government institutions.

Lessons Learned for EbA and other Adaptation projects

Phased approach to conducting VIA studies: The detailed VIA studies took too long (1-2 years) to be completed and this in a way delayed project implementation. As a result, rapid vulnerability assessments were conducted by IUCN and its partners through which 'no-regret' adaptation measures were identified and implemented in the pilot sites. The detailed VIAs validated most of the 'no-regret' adaptation actions implemented as EbA options. Therefore, adaptation project could be designed in a way to allow the science and implementation to go hand in hand. A phased VIA approach is necessary for projects that combine science and application. The quick and less costly rapid vulnerability assessments are useful at the start of the project to identify the situation, problems, and needs; followed by implementation of quick measures to enable learning. Detailed or deeper VIAs can be conducted at a later stage depending on the needs identified, involving experts, as implementation is on-going.

Conduct Cost-Benefit Analysis (CBA) in the early stages of project: CBA studies were conducted late in the project implementation cycle and did not inform the selection and piloting of Ecosystem based Adaptation options. The studies were delayed because the Vulnerability Impact Assessments that would have determined the scope of CBA studies were also delayed. If CBAs are to be beneficial, they should be conducted at the beginning of the project. Where it is not possible, rapid vulnerability assessments should be followed by rapid CBA studies to inform the selection of quick start adaptation actions. Detailed CBA studies can then be conducted at a later stage depending on needs and gaps.

Incentives are crucial for uptake of EbA options: In Uganda, the design of incentives late in the project implementation cycle and did not inform the selection and piloting of especially the community conservation fund and PES propelled uptake of Ecosystem based Adaptation options to high levels. Livelihood diversification interventions also proved to be effective in reducing pressure on ecosystems. Therefore, incentive schemes are key entry points for promoting Ecosystem based Adaptation options and could be very effective if they are integrated in project design, and implemented in in a participatory manner. To be effective, an incentive scheme should be able to cover the entire targeted community.

Recommendations

Recommendation 1. The project has created a considerable interest and confidence in EbA and has generated useful lessons and best practices that can be scaled up and replicated. However, the project activities were limited to pilots in Panchase, NYCLR and Mt. Elgon and involved a few partners. Successful uptake of EbA and building mountain ecosystem resilience in countries will require follow-up activities to communicate and disseminate EbA lessons learned and replicate EbA options outside the pilot sites. It is recommended that UN Environment, together with governments in Nepal, Peru and Uganda, seek funds from donors for a follow up phase as soon as possible, extending efforts already made.

Recommendation 2. The EbA M&E framework was initiated late in countries and was only finalized towards the end. There is need for a follow up activity on measuring ecosystem change using indicators in the developed M&E framework. The extensive work carried out by the project in developing EBA indicators could be used for future EbA projects and programmes.

Summary of ratings

Ratings for the individual criteria are given in the table below. The overall rating for this project based on the evaluation findings is **"Satisfactory".**

Criterion	Overall Rating
A. Strategic relevance	Highly Satisfactory
B. Achievement of outputs	Satisfactory
C. Effectiveness: Attainment of objectives and planned results	Satisfactory
1. Achievement of direct outcomes as defined in the reconstructed TOC	Satisfactory
2. Likelihood of impact using ROtI approach	Moderately Likely
3. Achievement of formal project objectives as presented in the Project Document.	Satisfactory
D. Sustainability and replication	Moderately Likely
1. Socio-political sustainability	Likely
2. Financial resources	Moderately Likely
3. Institutional framework	Likely
4. Environmental sustainability	Likely
5. Catalytic role and replication	Satisfactory
E. Efficiency	Moderately Satisfactory
F. Factors affecting project performance	
1. Preparation and readiness	Moderately Satisfactory
2. Project implementation and management	Satisfactory
3. Stakeholders participation, cooperation and partnerships	Highly Satisfactory
4. Communication and public awareness	Highly Satisfactory
5. Country ownership and drivenness	Highly Satisfactory
6. Financial planning and management	Satisfactory
7. Supervision, guidance and technical backstopping	Highly Satisfactory
8. Monitoring and evaluation	Satisfactory
i. M&E design	Moderately Satisfactory
ii. M&E plan implementation	Satisfactory
Overall project rating	**Satisfactory**

1 INTRODUCTION

1. The United Nations Environment Programme (UN Environment), in partnership with the United Nations Development Programme (UNDP) and the International Union for Conservation of Nature (IUCN) designed and implemented a project entitled *"Ecosystem Based Adaptation (EbA) for Mountain Ecosystems"* (hereafter called the EbA Mountain Project) in three countries (Nepal, Peru and Uganda) over a six-year period, 2010-2016. The project's goal was to "to strengthen the capacity of countries that are particularly vulnerable to climate change impacts, to build ecosystem resilience for promoting ecosystem based adaptation (EbA) options and to reduce the vulnerability of communities with particular emphasis on mountain ecosystems".

2. The EbA Mountain Project was implemented within the umbrella EbA project "*Support for building resilience of vulnerable ecosystems*" (Project 11.P3) during the UN Environment Programme of Work (PoW) for periods 2010 - 2011 and 2012 – 2013, and as a stand-alone project during the UN Environment PoW for the period 2014 - 2016. Financial support for the project totaling to USD 15 million (EUR 11.5 million) was provided by the German Federal Ministry of Environment, Nature Conservation, Building and Nuclear Safety (BMUB), through its International Climate Initiative (ICI).

3. This evaluation report provides the findings of the EbA Mountain Project Terminal Evaluation (TE). The evaluation was led by UN Environment Evaluation Office (EOU) and conducted in line with the UN Environment Evaluation Policy[5] and the UN Environment Evaluation Manual[6] by an independent team of evaluators to assess project performance and to determine the outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

1.1 Subject and scope of the evaluation

4. The terminal evaluation was conducted between June and December 2016 and covered the period from project start to completion (June 2010 to June 2016). The evaluation included visits to the UN Environment Headquarters in Nairobi for consultations with UN Environment officials and subsequent country missions to Nepal, Peru and Uganda for consultations with project team, partners and beneficiaries, as well field visits to project pilot sites in Panchase region of Nepal, Nor Yauyos Cochas Landscape Reserve (NYCLR) in the high Andes of Peru, and in Mt. Elgon region of Uganda. The detailed evaluation timeframe is given in Annex III.

5. In line with the Terms of Reference (TOR), the evaluation revolved around the following key questions, based on the project's components and intended outcomes:

a. Have the Countries incorporated EbA principles mountain ecosystem into national planning and development policy processes (including actions focused on Mountain Ecosystems to enhance resilience) as a result of the project. Have the EbA measures led to improved delivery of ecosystem services?

b. Have countries incorporated EbA cost-benefit analysis principles based on evidence from interventions to inform public policy, finance processes and economic sectors in mountain countries as a result of the project?

c. At national level the key questions were:

[5] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[6] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-S/Default.aspx

i. Has the project enhanced the ability of decision makers in Nepal to plan and implement EbA strategies and measures at national and ecosystem level in the Panchase area of the Himalayas; Has the project led to a reduction of vulnerability to the impacts of climate change with particular emphasis on the target communities in Panchase area?

ii. Has the project strengthen Peru's capacity to identify and implement EbA measures that reduce the vulnerability to climate change of local communities in high mountain ecosystems, through a pilot project in Nor Yauyos-Cochas in the Andes;

iii. Has the project strengthen Uganda's capacity for promoting EbA options and to reduce the vulnerability of communities to climate change impacts with particular emphasis on the Mount Elgon ecosystem;

d. To what degree was the project successful in supporting the integration of EbA principles into good practices and recommendations for informing adaptation policies, development and financial models and plans relevant for up scaling?

e. To what extent has the project set the bases for scaling up the EbA approach at national, regional and global level?

f. To what extend was the project able to influence international discussions on EbA?

g. How did UN Environment, UNDP and IUCN as well as the national partner governments assess the partnership and cooperation of the three implementing entities? What lessons can be learned for future collaborative projects?

6. The above-mentioned questions were expanded by the evaluation team (see evaluation matrix, Annex VI).

1.2 Evaluation objectives

7. The Terminal Evaluation had two primary proposes:

i. To provide evidence of results to meet accountability requirements, and;

ii. To promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment, UNDP, IUCN and national project partners.

8. In addition, the evaluation was intended to identify lessons of operational relevance for future project formulation and implementation, and to provide recommendations for the planned second phase of the project.

1.3 Evaluation approach and methodology

9. In line with the TORs (Annex I), this evaluation was conducted using a mix of approaches: (i) a desk review of project documentation; (ii) a review of documentation of UN Environment policies and programmes and country documents; (ii) conducting interviews and discussions with key project partners (at global, regional and country levels), participants and beneficiaries; and (iii) a country visits to Nepal, Peru and Uganda and project pilot sites in the three countries. The list of stakeholders consulted and interviewed is available in Annex III and a list of consulted documents reviewed is provided in the Bibliography (Annex IV).

10. The evaluation was conducted by two independent consultants, Revocatus Twinomuhangi (Lead Consultant) and Clemencia Vela (Support Consultant), under the supervision and support of UN Environment Evaluation Office.

11. The deeper analysis in this evaluation is based on the Theory of Change (TOC). A reconstructed TOC (Section 2.9) was developed based on analysis of the ProDocs in order to support a comprehensive Review of Outcomes to Impact (ROtI) analysis. The evaluation table on design quality from the Inception Report is presented in Annex VI.

1.4 Main evaluation criteria and questions

12. In line with TOR, the UN Environment Evaluation Policy and Programme Manual, the project was assessed with respect to a minimum set of evaluation criteria grouped into five categories:

i. Strategic Relevance; which looks at the alignment of project objectives with UN Environment mandate, strategies and programmes, as well as to donors, partners' and country policies and strategies;

ii. Attainment of objectives and planned results; which comprises the assessment of outputs achieved, effectiveness and likelihood of impact;

iii. Sustainability and replication; which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices;

iv. Efficiency; which covers cost-effectiveness and timeliness, and;

v. Factors and processes affecting project performance; including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UN Environment supervision and backstopping, and project monitoring and evaluation.

13. In line with the TORs and the standard UN Environment assessment guidelines, all evaluation criteria are rated on a six-point scale, from Highly Satisfactory (HS) to Highly Unsatisfactory (HU). Sustainability and Likelihood of impact are rated from Highly Likely (HL) to Highly Unlikely (HU). In addition, the quality of project design was assessed (see Annex VI). An Evaluation Matrix (Annex VI) was used to outline in detail the proposed indicators that were used to answer the evaluation questions across the core areas of evaluation.

2 PROJECT BACKGROUND

2.1 Context

14. Ecosystems deliver critical goods and services that people depend on for their wellbeing and livelihoods. However, increased pressure on natural resources and unsustainable utilization of these resources manner results in ecosystem degradation. This results into loss of the goods and services that healthy ecosystems can provide to support human wellbeing. While climate change further exacerbates ecosystem degradation, degraded ecosystems are less resilient to climate change and thus the societies that depend on such ecosystems become highly vulnerable to climate change, creating a viscous circle. Developing countries are vulnerable to the adverse impacts of climate change and the negative impact of climate change has already been witnessed in the form of extreme weather events, which make ecosystems and communities in these countries also vulnerable.

15. Adaptation strategies help countries to better plan for and minimize climate change risks and disasters. Adaptation strategies can include a wide range of actions, including establishment of early warning systems and infrastructure. EbA is another form of adaptation that uses nature and ecosystem services to help adapt to climate change. Evidence has been increasing overtime that focusing on environmentally friendly adaptation approaches, such as through EbA, can create win-win situations: protecting biodiversity and ecosystems services while at the same time improving the livelihoods of the populations involved.

16. Ecosystem resilience, and thus EbA, is now widely accepted by Parties to the UNFCCC as one of the key approaches in the portfolios of adaptation actions needed to implement the Paris Climate Change Agreement. Since 2008, EbA has been one of UN Environment's flagship approaches to climate change adaptation, and the approach is also strongly supported by UNDP and IUCN. UN Environment's work on EbA has its origins in the key findings of the IPCC Fourth Assessment Report, and the Bali Action Plan agreed at UNFCCC COP13 reflecting the adaptation needs of countries.

17. Mountain regions make up one-fifth of the earth's land surface, which gives them an important global environmental status. Mountain ecosystems are important sources of water, energy, minerals, forest and agricultural products and are also areas of recreation. They are storehouses of biological diversity, home to endangered species and an essential part of the global ecosystem. In addition, mountains are source of many of the world's major river systems, which makes them a key element of the hydrological cycle. Moreover, mountain ecosystems are important in relation to climate change adaptation due to their integral role in hydrological cycles. As a result, mountain ecosystems an important area of focus for EbA.

18. Most mountain areas worldwide are facing considerable ecological/environmental degradation. This is because they are highly susceptible to soil erosion, landslides, rapid loss of habitat, species and genetic diversity. From the Andes in South America to the Himalayas in Southeast Asia, there is serious ecological deterioration. Shifts in climatic regimes and a changing global climate is likely to impact heavily on the river systems originating from mountain areas which could disrupt existing socio-economic structures of mountain and downstream populations.

19. In 2010, the UN Environment, in collaboration with the governments of Nepal, Peru and Uganda and in partnership with the German Government launched the EbA Mountain programme in Cancun, Mexico at the margins of the UNFCCC COP16. The EbA Mountain Project was designed and implemented under EbA Programme: first as a component of the 'umbrella' project '*Support for building resilience of vulnerable ecosystems'* for the UN Environment PoW periods 2010-2011 and 2012-2013 contributing to UN Environment's Climate Change Sub-programme, as well as defined

UNDAF outcomes for the participating countries. During that period, the EbA Mountain project mainly focused on developing generic assessment tools, particularly vulnerability impact assessment (VIAs) and methodologies for EbA in mountain ecosystems. During the PoW period 2014-2015, the EbA Mountain project became a stand-alone project.

20. The rationale of the EbA Mountain project was to use sustainable management, conservation and restoration of ecosystems, taking into account anticipated climate change impact trends to reduce the vulnerability and improve the resilience of ecosystems and people to climate change impacts. The project was also designed to contribute to two of the 2020 targets on biodiversity, specifically target 14 on restoring and safeguarding ecosystems to ensure provision of ecosystem services and 15 on enhancing ecosystem resilience through conservation and restoration both under the strategic goal D of enhancing the benefits to all from biodiversity and ecosystem services.

21. The Project was implemented in Nepal, Peru and Uganda and it focused using EbA approaches to improve ecosystem resilience while improving livelihoods and well-being of people. Nepal is a Least Developed Country in South East Asia that heavily depends on climate sensitive sectors (more especially agriculture, tourism and forestry) which makes the country's economy and population vulnerable to climate change. Observed climate data indicates consistent warming and rise in the maximum temperatures at an annual rate of 0.6^0C[7]. Warming is more pronounced in the high-altitude regions, and in the Himalayas warming has been much greater than the global average. The impacts of climate change are already observed as the Himalayan glaciers as they are retreating rapidly.

22. Projections of future changes for Nepal include an increase of mean annual temperature across the country by an average of 1.2^0C by 2030, 1.7^0C by 2050 and 3^0C by 2100, and a 15 - 20% increase in summer precipitation throughout the country. Recent studies by International Centre for Integrated Mountain Development (ICIMOD)[8] show that glaciers in the Dhud-Koshi sub-basin of Nepal are retreating at unprecedented rates with rates of 10 to 60m per year and, in exceptional cases, as fast as 74m per year. Nepal's Panchase region was selected as a project area due to its highly vulnerability to climate change. The high vulnerability is related to its fragile topography, high rainfall, numerous rivers and deforestation. These increase the incidence of climate change risks such as flash floods, landslides and soil erosion which are common during the monsoon season. Climate change is already having negative impacts water resources, biodiversity and agriculture.

23. Peru is a South American country, covering an area of 496,200 Km^2 and has a population of 30.4 million people. Peru is considered the world's third most vulnerable country to climate change because of its already shortage of water and the fast reduction of its mountain glaciers. Peru's Second National Communication[9] indicates that by 2050: (i) Peru will experience an increase in temperature by 1.3^oC during the summer and a reduction in humidity by as much as 6%, which will result into increased 'freezing nights' during the summer, and an increase in ocean temperatures ranging from 3 to 4^oC; (ii) a 10-19% reduction in precipitation in the North, South, and Central parts of Peru; (iii) rise in sea levels, which will result in flooding, erosion, salt water penetration into underwater springs, and general damage caused by the sea; iv) Increase frequency in the occurrence of climactic phenomena such as 'El Niño' with greater consequences.

24. Peru's NYCLR was selected for implementation of the EbA Mountain project due to its high vulnerability. Many Andean glaciers are retreating, and this could seriously affect seasonal water

[7] Government of Nepal, 2009. Fourth National Report to the Convention on Biological Diversity, Ministry of Forest and Soil Conservation.
[8] ICIMOD, 2007. Impact of climate change on Himalayan glaciers and glacial lakes.
[9] Government of Peru, 2010. Second National Communication to UNFCCC, 2010.

flows and availability of water for human consumption, hydropower, and agriculture. Warming in the Andes is damaging high mountain ecosystems, including the drying of paramos (Andean grassland and wetlands) and the disappearance of snow-capped terrain. Improved catchment and natural resource management with flora that are better adapted to reduced rainfall and increased temperatures could help people and ecosystems better adapt, together with improvements in farming systems management.

25. Uganda is least developed country in East Africa whose economy and population is highly dependent on rain-fed agriculture and natural resources. Not only is Uganda one of the world's most vulnerable countries to climate change, but it is also among the least prepared to adapt.[10] Erratic weather patterns (especially floods and droughts) are being observed in increased frequency and intensity. These climatic trends are likely to intensify with average temperatures rising by 1-3^{0}C by 2050, and rainfall patterns likely to become more erratic and unpredictable[11].

26. Uganda's Mt. Elgon region was selected as the project area because of its high vulnerability. The region is densely populated and the increasing pressure on the mountain's resources and ecosystems has already resulted in increased soil erosion, runoff, landslides and general land and ecosystem degradation. The majority of the people are engaged in agriculture and the available land is subjected to continuous and intensive cultivation. Little to no remnants of natural vegetation remain in the lower and mid highland areas. The forest reserves in the middle and high altitudes are being threatened with degradation and encroachment. Landslides and soil erosion significantly impact on the lives of affected communities and compromise their main sources of livelihoods. Flooding is common especially in the low-lying areas.

2.2 Project Objectives and Components

2.2.1 Objectives

27. The primary goal of the project was "to strengthen the capacity of countries that are particularly vulnerable to climate change impacts, to build ecosystem resilience for promoting ecosystem based adaptation (EbA) options and to reduce the vulnerability of communities with particular emphasis on mountain ecosystems".

2.2.2 Components

28. The project included 5 key components: (1) Development of methodologies and tools for EbA decision making in mountain ecosystems; (2) Application of methodologies and tools at ecosystem level; (3) Implementation of EbA pilots at ecosystem level; (4) Development of business case for EbA at the national level; and (5) Development of a learning and knowledge management framework.

29. **Component 1: Development of methodologies and tools for EbA decision-making in mountain ecosystems.** This component was meant to provide support to develop EbA methodology, tools, and options indicators for monitoring and availing them to decision makers in project countries. The support includes compilation of good practice EbA measures, operationalizing VIA

[10] Centre for International Governance Innovations - CIGI, 2007. International Risk Report. CIGI

[11] Ministry of Water and Environment, 2014. Regional-scale Climate Change Projections of Annual, Seasonal and Monthly Near-Surface Temperatures and Rainfall in Uganda. A Report as part of the outputs of the Economic Assessment of the Impacts of Climate Change in Uganda. The study was supported by the Climate and Development Knowledge Network (CDKN).

methodology adapted to include ecosystem resilience, developing mapping and scenario methodology, and developing of EbA monitoring tools for EbA management and project success.

30. **Component 2: Application of methodologies and tools at ecosystem level.** Through this component, support was meant to ensure that the developed EbA methodologies and tools are applied at ecosystem level. This was to be achieved through: conducting VIA at the mountain ecosystem level engaging the relevant stakeholders taking into consideration the different climate scenarios; prioritization of EbA options through economic assessment; developing maps for spatial planning for EbA, incorporation of stakeholder priorities to the spatial analysis to develop a land use plan, designing a specific implementation and action plan for EbA, and development of monitoring guidelines and baselines

31. **Component 3: Implementation of EbA pilots at ecosystem level.** This component was meant to support piloting and demonstration of EbA practices in mountain areas. It was meant to mobilize and convene stakeholders, review existing territorial plans and identify entry points for EbA and assess the financial costs and sources. It was also meant to conduct targeted training for relevant government and technical institutions, capturing learning from pilot projects, implementing on EbA ground actions like restoration of degraded ecosystems (forest, grasslands, wetlands and alpine ecosystems) to ensure water provision and soil stabilization, as well as promoting conservation farming and sustainable livestock husbandry to reduce pressures on ecosystems and enhancing sustainable water use and management.

32. **Component 4: Development of business case for EbA at the national level.** This component was meant to support defining of cost co-efficients for EBA, conducting economic assessments at national sectoral level for EbA, translation of the economic assessments into policy papers that guide sector strategies and allocation of resources. It was also meant for building responsive policy, legislative and institutional frameworks to support linking ecosystems and their functions to economic growth.

33. **Component 5: Development of a learning and knowledge management framework.** The component was meant to support efficient and systematic documentation and dissemination of knowledge products and lessons learned to all intended target groups, including fostering of South-South and global collaboration. It was specifically meant for developing and maintaining information systems (web-portal and a-communique), convening regional climate change forum through Global Adaptation Network (GAN), organization of sub-regional and thematic workshops (facilitate exchange), supporting scientific assessments and synthesis of research such as VIAs, supporting review of policy, strategy, plans, institutional setup developing and maintaining good practice database, developing training modules such those targeted at Decision Support Framework (DSF) that are applicable to EbA, and organizing training workshops particularly focused on EbA training and capacity building at various levels. The support was also meant to organize exchange visits, including supporting developing country participants in Global events (e.g. the Ninth International Community Based Adaptation Conference - CBA9 in Kenya), reviewing, identifying and elaborating policy options, and providing advisory support to actors on adaption integration and convening targeted science-policy dialogues.

2.3 Target areas/groups

34. The project's geographical scope was global, however within countries, the scope and target groups were at national, sub-national and local.

35. **Nepal:** At the national level, the project targeted the MoFSC through its Department of Forests (DoF) as well as the Ministry of Population and Environment (MOPE), which is responsible for

climate change policy and coordination. In addition, the Ministry of Federal Affairs and Local Development (MoFALD) and Ministry of Agriculture Development (MoAD) were targeted to provide support in implementation at the field level through relevant departments and local government bodies. The National Planning Commission (NPC) of Nepal was expected to provide guidance and support in formulating EbA policy and strategy based on the results of the pilot. The technical officers in ministries engaged in the project were exposed to EbA practices and the benefits of their application.

36. At the sub-national level, the project intervention area was the Panchase region. This region had been identified as highly vulnerable to climate change[12]. The pilot sites were in the target districts of Kaski, Parbat and Syangja. The Western Region Forest Directorate (WRFD) was identified to provide supervision and monitoring of the project. Targeted also was Parliament, District Administration such as District Development Committees, Village Development Committees Local Authorities, Universities and schools. At community level, the target was on village leaders, natural resource user groups such as Conservation Area Management Committees, Women's Groups, CBOs. The communities and households, who are the most vulnerable to the impacts of climate change, were the key beneficiaries of the project.

37. **Peru:** At the national level the project targeted the Ministry of Environment (MINAM) and its Directorate of Climate Change, which provided support to the Regional Governments in Regional Climate Change Strategies update. MINAM and the Directorate were involved in the definition of the pilot sites and participated in capacity building activities and application of EbA practices. The project targeted the National Service of Protected Areas (SERNANP) as a main partner because they are responsible of management of the Landscape Reserve.

38. At the regional level, the project established a partnership with the Directorates of Natural Resources of the regional government and the SERNANP. The project took advantage of the momentum at regional governments, as they required updating their Climate Change Regional Strategies to comply with the national government's mandate. The interaction with the Regional Governments of Junín and Lima approach was to engage with and through them with the regional steering committee, to benefit them with capacity building and training, while they facilitated the engagement of municipalities and regional authorities.

39. At the local level, the Nor Yauyos Cochas Landscape Reserve was selected as the project area as a response to the request of the MINAM and SERNANP. Within the Reserve four pilot sites were selected: Canchayllo, Miraflores, Tanta and Miraflores. The approach deployed was to encourage linkages with the community organization, and / or focus groups within the communities; and to work with the municipalities of some communities (Tanta and Tomas). The key beneficiaries of the project were in some cases whole communities and in others farmer groups. They benefit from the EbA knowledge and practices generated through the project, as well as from improved generation of ecosystem services and livelihood improvement interventions implemented by the project. The communities and farmer groups participated in pilot sites' identification, and in piloting and implementation of EbA options at ecosystem level.

40. **Uganda:** At the national level, the project targeted the MWE though its Directorate of Environmental Affairs (DEA), as well as the Climate Change Department (CCD), which is responsible for climate change policy and planning as well as coordinating and supervising climate change response in the country. At the sub-national level, the project intervention area was the Mt. Elgon region. This region had been identified during the NAPA preparation process as being among the

[12] Ministry of Science, Technology and Environment (MoSTE), 2010. Climate Change Vulnerability Mapping for Nepal.

most vulnerable regions to climate change. The pilot sites were in four target districts of Bulambuli, Kapchorwa, Kween and Sironko. At the district and sub-county levels, the direct beneficiaries were technical staff engaged in the project implementation and they were trained on EbA application and benefits. The communities and households, who are the most vulnerable to the impacts of climate change, were the key beneficiaries of the project.

2.4 Milestones in Project Design and Implementation

41. Table 2 below presents the milestones and key dates in project design and implementation

Table 2: Milestones and key dates in project design and implementation

Milestones	Completion dates
UN Environment Project Approval Date	24 June 2010
Actual Start Date (Global)	24 June 2010
Actual Start Date (Nepal)	1 January 2012
Actual Start Date (Peru)	June 2011
Actual Start Date (Uganda)	1 April 2012
Intended Completion Date	31 December 2014
Planned Duration	54 months
First PSC Meeting	12 July 2011
Last PSC Meeting (Global - before Terminal Evaluation)	18 May 2016
Technical Completion Date	30 June 2016
Actual Completion Date	30 June 2016
Date of financial closure (expected)	December 2016
Terminal Evaluation completion	April 2017

2.5 Implementation Arrangements

42. The project was implemented by UN Environment, UNDP and IUCN. Implementation of the various project components was shared among the project partners: with UN Environment leading implementation of Components 1, 2 and 5, UNDP and IUCN leading Component 3, and UNDP leading Component 4. The partners were selected based on their complementary and comparative advantage and experience in the target countries. UN Environment Ecosystem Division[13] provided the overall global project coordination, in close collaboration with UNDP and IUCN. The Ecosystems Division engaged UN Environment's Regional Offices to execute UN Environment's led components (1, 2 and 5) in countries i.e. The Regional Office for Asia and the Pacific led execution in Nepal; the Regional Office for Africa in Uganda; and the Regional Office for Latin America and the Caribbean led in Peru.

43. A Programme Officer from UN Environment / Ecosystems Division, Climate Change Adaptation Unit (CCAU) served as Project Coordinator with overall responsibility for implementation, steering and guiding technical aspects, assisting effective implementation and providing overall reporting and advice on the necessary project adjustments[14]. At the Regional Level, the Climate Change Coordinators at UN Environment's Africa, Asia & Pacific and Latin America & Caribbean offices were engaged to guide implementation of UN Environment led components in countries but also to ensure that project activities are aligned to UN Environment's strategy and PoW.

[13] Formerly the Division of Environmental Policy Implementation (DEPI)

[14] UNEP, 2015. EbA for Mountain Ecosystems Project – ProDoc, March 2015.

44. A Global Project Steering Committee (GSC) was put in place with representation from BMUB, UN Environment, UNDP and IUCN to provide overall operational coordination and guidance for implementation of the project. UNDP and IUCN were responsible for country level project implementation. The UN Resident Coordinator provided country level coordination through the UN Country Team, including synergies with related activities and the country UNDAFs. Within the target countries, each Project Partner (UN Environment Regional Offices, UNDP and IUCN) developed their own work plans, which had to be approved by National Project Steering Committee (NPSCs). UN Environment ensured timelines, quality and fiduciary standards in project delivery.

45. UN Environment signed cost sharing agreements with UNDP and IUCN, in terms of which funds were disbursed in instalments. The project had several Project Documents: A global Project Document (also referred to as the ICI proposal), and three country specific Project Documents. The Country Project Documents were prepared by the UNDP Country Offices and were endorsed by respective governments.

46. At country level, NPSCs were put in place, with representation from the respective UN Environment Regional Office, UNDP, IUCN and relevant national stakeholders, to oversee country implementation.

47. In Nepal, the lead implementation agency was the MoFSC (the DoF) in partnership with UNDP, IUCN and UN Environment. The Project Executive Board (PEB) was the highest decision-making body composed of UN Environment (Asia & Pacific Office), UNDP, IUCN, MoFSC, and MOPE. At regional level, a Field level Project Coordination Committee (FPCC) was put in place to oversee project implementation. A Programme/Project Management Unit (PMU) was put in place at the DoF to coordinate the project activities.

48. In Peru, the lead Executing Agency was the Ministry of Environment (MINAM) in partnership with UNDP, the Mountain Institute (TMI) on behalf IUCN, and UN Environment. TMI executed the project on behalf of IUCN in Peru because IUCN has no country presence in Peru[15]. TMI was technically supported by IUCN Regional Office based in Ecuador and regular site visits were undertaken as a part of this technical assistance; with visits by IUCN EbA global programme. Further, knowledge sharing and policy advocacy based on project experiences in Peru were done by IUCN together with TMI nationally and globally. The project received guidance from a National Project Steering Committee (NPSC) and a Technical Committee. The National PSC was the highest decision making body composed by high level representatives of MINAM, TMI/IUCN, UN Environment (Latin America and the Carribean Office), UNDP and Regional Governments of Junin and Lima. The Technical Committee had the function of reviewing and approving technical workplans and products of the project. It was composed of representatives of IUCN, MINAM, SERNANP (the National Service of Protected Areas), UNDP and UN Environment, and the regional governments of Junin and Lima. A Project Management Unit (PMU) was put in place at UNDP to coordinate the project activities.

49. In Uganda, the lead Executing Agency was the MWE (DEA) in partnership with UNDP, IUCN and UN Environment. The National Project Steering Committee (NPSC) composed of UN Environment (Africa Office), IUCN, including Ministry of Agriculture, Animal Industry and Fisheries (MAAIF), Ministry of Lands, Housing and Urban Development (MoLHUD), Ministry of Energy and Mineral Development (MEMD), Ministry of Justice and Constitutional Affairs, Ministry of Health, National Planning Authority (NPA), Uganda National Meteorological Authority (UNMA), Ministry of Finance, Planning and Economic Development (MoFPED). Pilot Districts they were represented at

[15] In South America, IUCN operates through a regional framework and only has Regional Offices in Panama, and works through NGOs partnerships in countries.

the NPSC. A Programme/Project Management Unit (PMU) was put in place at UNDP to coordinate the project activities.

50. At country level effective partnership arrangements were formalized through MoUs and contracts signed between the partners, ministries, local governments, NGOs and suppliers to ensure effective project execution.

2.6 Project Financing

51. The EbA Mountain project budget support from BMUB was USD 15,046,898 (EUR 11,500,000) allocated to the UN Environment EbA Trust Fund (less programme support and fiduciary costs).[16] Table 3 below provides a summary of budget allocations through project partners.

Table 3: Project budget summary

Implementing Partner	Amount (USD)
UN Environment	4,265,156
UN Environment –WCMC	600,827
IUCN	3,851,357
UNDP	6,329,557
Total Cost of the Project	15,046,897

2.7 Project partners

52. As already mentioned in section 2.6 the Implementing Agencies of the project were UN Environment, UNDP and IUCN. In countries, government ministries (MoFSC, MINAM and MWE) were the lead Executing Agencies.

53. There were other project partners at country level. In Nepal, there was MOPE, the Western Region Forest Directorate and the target Districts in Panchase region (Kaski, Parbat and Syangja). In Peru, there was the National Service of Protected Areas (SERNANP). In Uganda were DEA, CCD and the target Districts in Mt. Elgon region (Bulambuli, Kapchorwa, Kween and Sironko). The details of implementation partners are discussed in section 2.5 (implementation arrangements).

2.8 Changes in design during implementation

54. The EbA Mountain project started in June 2010 and underwent one major revision in 2014-2015. The revision was conducted to: (i) align the project to the UN Environment PoW for the period 2014-2015; (ii) Add Component 5 on development of a learning and knowledge management framework; (iii) Extended the project period up to June 2016 (an extension of one and half years) to June 2016 to enable completion of the project activities; and (iv) provide additional BMUB funding of EUR 1.5 million for Component 5.

55. After the revision, the EbA Mountain project became a stand-alone project (as Phase 2 of the initial project). There were two other minor budget revisions that moved funding into 2015 and 2016, because the project was extended to 30 June 2016**.**

[16] UNEP, 2015. EbA in Mountain ecosystems. Annual Project report to BMUB, 2015.

2.9 Reconstructed Theory of Change of the Project

56. Progress made towards achievement of EbA Mountain Project objectives and impacts in Uganda was examined using the Theory of Change (TOC) approach and Review of Outcomes to Impacts (ROtI) analysis. At project design, the TOC was not part of the project. However, the revised Project Document (Project Document of the second phase[17]) provides a TOC, but it does not cover the entire project duration. Therefore, for this evaluation, the TOC was reconstructed (see Figure 2) with a certain degree of interpretation based on the project documentation by the evaluators. The reconstructed TOC diagram depicts the causal pathways from outputs to outcomes through intermediate states towards impact.

57. **Stage 1:** Referring to the "objectives" statement as defined in the Project Document, the goal of the EbA Mountain Project was "to strengthen the capacity of countries that are particularly vulnerable to climate change impacts to build ecosystem resilience for promoting EbA options and to reduce the vulnerability of communities with particular emphasis on mountain ecosystems". To that end, we consider the main Project Outcome[18] as: "countries vulnerable to climate change impact have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems".

58. Project implementation in target countries was geared towards building and facilitating the capacity of national and local government institutions and communities to engage in adaptive ecosystem management. Achievement of the project outcome would contribute to increased mountain ecosystem resilience and reduced vulnerability of mountain region communities and their livelihoods to the negative impacts of climate change. This is in line with the long-term goal of the EbA "umbrella project" (11-P3 - *Support for building resilience of vulnerable ecosystems*) from which this project is derived. Thus, the evaluation considers the ultimate impact of the project in countries as "increased ecosystem resilience and reduced vulnerability of communities in Mt. Elgon ecosystems to climate change".

59. **Stage 2:** The broader outcome defined in the logical framework of the EbA Mountain Project is clear and can be verified by keeping track of the: (i) capacity building training conducted in countries, (ii) number of pilot demonstrations delivered in countries, (iii) EbA plans in place at country level and being used to influence public policy and finance processes (iv) integration of EbA into countries' overall adaptation strategy and development planning processes, and iv) number of EbA guidance notes and policy briefs produced and disseminated to influence policy.

60. The EbA Mountain Project logical framework (and now TOC) analysis is based on the premise that: strengthened capacity in EbA approaches and principles at country level will result in increased mountain ecosystem resilience and reduced vulnerability of communities in mountain regions to climate change impacts.

61. The first output (Output 1.1 in Figure 2) refers to the assistance given by the project to develop EbA methodology, tools, and options indicators for monitoring and availing them to decision makers in project countries. The output was to be achieved through production of a handbook of EbA measures for mountain ecosystems providing a menu of options; mainstreaming resilience into VIA methodologies; outlining data needs, scenarios and steps for mapping; and, identifying indicators for in-country monitoring (monitoring protocol).

[17] UNEP produced a ProDoc in 2015 to align the EbA Mountain project into its PoW.

[18] Outcomes: the short to medium term behavioural or systemic effects that the project makes a contribution towards, and that are designed to help achieve the project's impacts ("the ROtI Handbook", GEF, 2009)

62. The second output (Output 2.1 in Figure 2) refers to the support given by the project for the application of EbA strategy and action plans at ecosystem level. This output was to be achieved by conducting vulnerability and impact assessments at country level; economic assessment of EbA options for each country; spatial mapping of EbA options for the selected ecosystem; preparation of EbA proofed land use plans; and implementation of action plans.

63. The third set of outputs (Outputs 3.1 and 3.2 in Figure 2) refers to the support given by the project to pilot EbA at ecosystem level. Under this set of outputs, the project set to alleviate technical and institutional capacity deficiencies for incorporating EbA in national planning and policy processes, and implementing/piloting EbA strategies and action plans being developed in countries. This would be achieved by supporting local communities, CSOs, and other partners at the project site to implement EbA.

64. The forth output (Output 4.1 in Figure 2) is the support given by the Project for developing a Business Case for EbA at the national level. The focus was to build the capacity of target countries to utilize EbA cost-benefit analysis principles to inform public policy, planning, finance process and investment in economic sectors. This would be catalytic for incorporation of not only EbA but climate change adaptation in their national development processes and to build capacity that can drive sustainability. Under this output, focus was on developing guidance notes and cost-coefficients and putting in place mechanisms for sharing them with relevant governments at national level.

65. The fifth output (Output 5.1 in Figure 2) refers to the assistance given by the project to capture and disseminate knowledge products and lessons learned. Under this output, the project's assistance focused on putting in place mechanisms for knowledge management and document learning from the project ensuring that the project's knowledge products are shared nationally and internationally through various platforms such as electronic media, published papers, joint training workshops and conferences. This output was achieved through developing and maintaining information systems; convening regional climate change forum through GAN; organization workshops and visits to facilitate exchange, supporting review of policy, strategy, plans, institutional setup; developing and maintaining good practice database; developing training modules and conducting trainings; providing advisory support to actors on adaption integration; and convening targeted science-policy dialogues.

66. The project's immediate outcomes are interlinked and synergetic. For example, immediate outcome 1 (Decision makers in countries adopt and apply EbA methodologies and tools to make better and informed EbA decisions) is a prerequisite to achievement of immediate outcome 2: (EbA methodologies and tools applied at ecosystem level). Further, immediate outcome 3 (enhanced ability of decision makers to plan, implement and monitor EbA at national and ecosystem level) builds on immediate outcomes 1 and 2. The results from EbA pilots and demonstrations would contribute to the development of a business case for EbA and evidence base from EbA cost-benefit analysis would then inform public policy and investment in EbA. Thus, outcomes 3 and 4 (evidence base informs public policy and investment) are also linked. Finally, outcomes 1-4 are linked to outcome 5 (increased EbA awareness and knowledge builds a case for adoption of EbA). All these were intended to strengthen the capacity of countries to apply EbA options to build ecosystem resilience and reduce the vulnerability of mountain communities to climate change.

67. Emerging from the Project Document, the **key-drivers** for the delivery of the several goods and services (Outputs) are:

i. Project Partners (Governments/Ministries) play an effective coordination and implementation role.

ii. Selected pilot sites are best placed for project interventions to demonstrate EbA measures.

68. Derived from the five components each with Outputs, five immediate Outcomes would be achieved; provided that the Government ministries in countries actively assume a leading role and that the main national and local stakeholders will assume their specific responsibilities in the process (institutional uptake).

69. However, the achievement of the five immediate Outcomes identified by the EbA Mountain Project does not automatically imply that the main Project Outcome '*countries vulnerable to climate change impact have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems'* is achieved. An effective coordination has to be in place in order to assemble and harmoniously implement all the functions and instruments included in the Project Document and its Logical Framework. UN Environment, UNDP and IUCN have to fully play their coordination, implementation and promotion role. The national implementation/coordinating agency at country level had to play a coordination role, while the institutional uptake by the main stakeholders had to be maintained and strengthened. The project would then be fully functional and achieve outputs and outcomes under the assumptions that:

i. EbA interventions at ecosystem level are effective to enable ecosystems and communities to adapt to the impacts of climate change.
ii. Stakeholders and target groups respond positively, and are committed to implement EbA interventions and provide the necessary support.

70. **Stage 3:** The assessment of the TOC led to the identification of the impact pathways and specification of the intermediate states as summarized below:

71. The impact that this project intended to contribute to is *"increased ecosystem resilience and reduced vulnerability of communities in mountain ecosystems to climate change".* The pathway from the Project main outcome (countries vulnerable to climate change impact have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems) to the intended Impact is not a straight forward process: Intermediate states - the transitional conditions between the project's immediate outcomes and the intended impact - are necessary conditions for the achievement of the intended impact. We have identified the Intermediate States that have to be fulfilled (as shown in Figure 2), which presents our understanding of the causal logic and of the pathway from Outcome to Impact.

72. We identified three main Intermediate States (I.S.), that would lead to the achievement of the intended impacts. Assuming that the main outcome is achieved and maintained, under the **assumptions** that: Lessons learned from the EbA project are used by governments to implement EbA; and, strong political will of government to mainstream EbA in policy and planning, the process will lead to "Plans, policies, strategies and actions (at national, sub-national and community levels) that integrate EbA" **(I.S. 1)**. The **key impact drivers** (external factors) expected to contribute to realization of this I.S 1 are: Partners play their roles; existence of EbA champions at national, local and community levels; and, project works with other players to support EbA policy setting and planning.

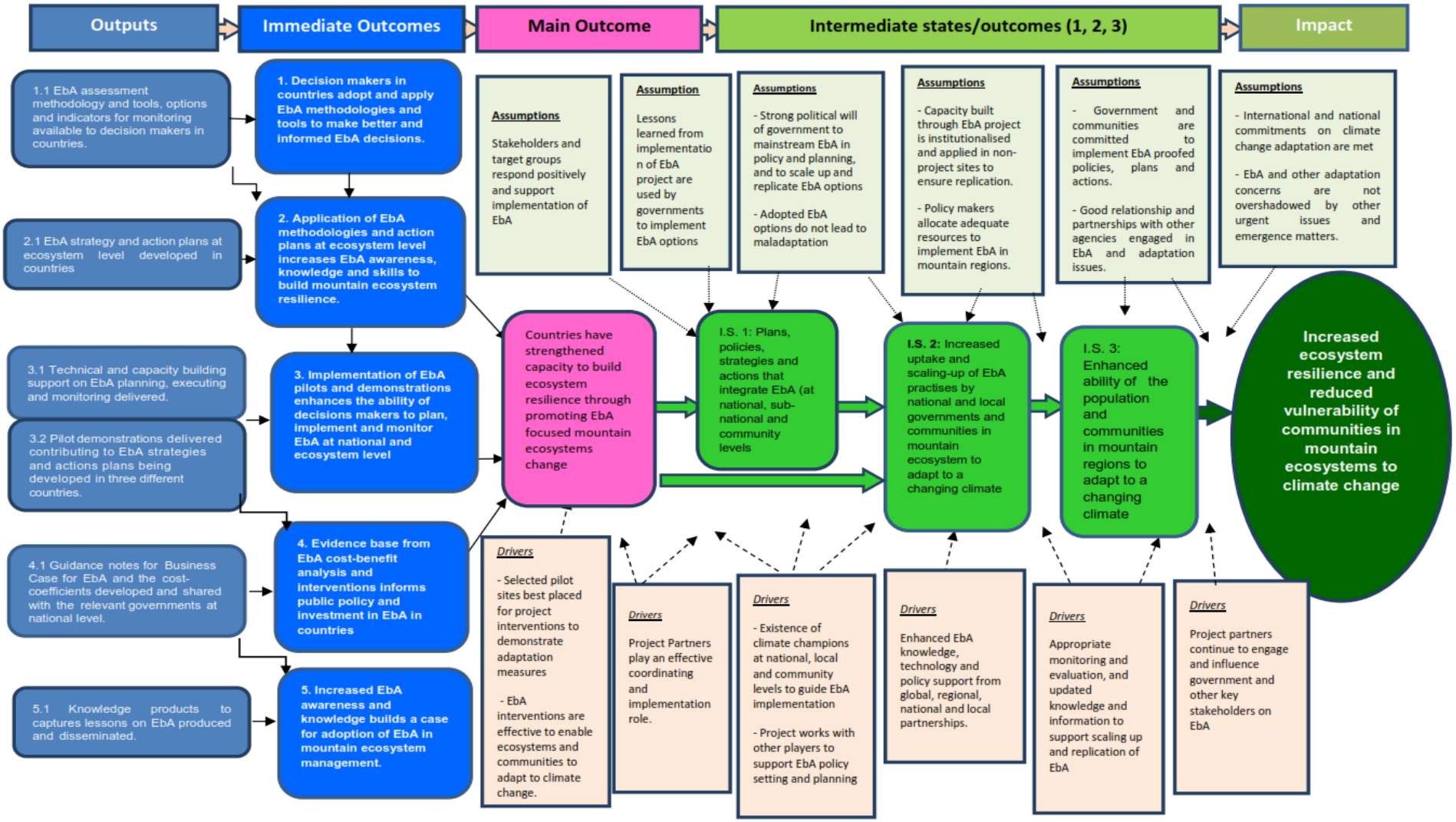
73. Our understanding is that the integration of EbA in national development plans and climate change policies, will lead to: "Increased uptake and scaling-up of EbA practices by governments and communities in mountain ecosystem to adapt to a changing climate" **(I.S. 2)**, on **assumption** that: Adopted EbA and other adaptation actions do not lead to maladaptation; EbA capacity built through the project is institutionalized and applied in non-project sites to ensure replication; There is strong

political will at national level to scale-up and replicate EbA tools and methodologies; Key stakeholders, target groups and communities in the mountain areas are supportive, and adopt EbA interventions, and; policy makers allocate adequate resources to implement EbA in mountain ecosystems. The main **impact drivers** at this stage are: effective institutions and platforms to guide implementation of EbA; EbA knowledge, technology and policy support from global, regional, national and local partnerships.

74. Increased uptake and scaling up of EbA by government and communities in mountain ecosystem to adapt to a changing climate will lead to: "Enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate" **(I.S. 3)**. The **drivers** at this level are: existence of EbA champions at local and national level to guide EbA implementation; and, enhanced EbA knowledge, technology and policy support from global, regional, national and local partnerships. The **assumptions** are that: governments and communities are committed to implement EbA proofed plans, policies and actions; adopted EbA and other adaptation actions do not lead to maladaptation; and, good relationship and partnerships with other agencies dealing in EbA and climate change adaptation issues.

75. Finally, under the **assumptions** that: International and national commitments on climate change adaptation are met. EbA and other adaptation concerns are not overshadowed by other urgent issues and emergency matters in countries; the Project Impact "Increased ecosystem resilience and reduced vulnerability of communities in mountain ecosystems to climate change" can be achieved. This will be **driven** by: project partners continue to engage and influence government and other key stakeholders on EbA; and, appropriate monitoring and evaluation and updated knowledge and information to support replication and up-scaling of EbA.

Figure 2: Theory of Change – Outputs to Impact Analysis



3 EVALUATION FINDINGS

3.1 Strategic Relevance

3.1.1 Alignment with UN Environment's strategy, policies and mandate

76. At project design, the EbA Mountain Project was aligned to UN Environment's Medium Term Strategy (MTS) for the period 2010–2013. Specifically, the project was aligned with two of UN Environment's thematic priorities: climate change and ecosystem management. The climate change thematic priority focuses on providing environmental leadership in the four areas: adaptation, mitigation, technology and finance, and their interlinkages. On the other hand, the ecosystems management thematic priority focuses on ensuring that countries utilize the ecosystem approach to enhance wellbeing. During implementation, the project remained relevant to the two thematic priorities as indicated in UN Environment's MTS for the period 2014-2017.

77. The EbA Mountain project was designed under the UN Environment flagship approach to climate change adaptation, championed by UN Environment since 2008. The EbA flagship programme served as a benchmark for the EbA related projects under the GEF (UN Environment) Adaptation Portfolio. Specifically, the EbA Mountain project was designed to achieve Outcome 1 of EbA umbrella project 11.P3 – *'Support for building resilience of vulnerable ecosystems*' (enhanced highland and lowland partnership for climate change adaptation and disaster risk reduction in the Great Himalayan Mountains).

78. The project was also designed to fit another UN Environment Flagship project (Project 11-P1) - Impact and vulnerability assessment - which was designed to undertake a series of assessments on the impacts of and vulnerability to climate change to make the case for EbA. Vulnerability assessment were part of the EbA project in countries in which EbA methodologies and were developed piloted and implemented at ecosystem level, including in the Panchase region of Nepal, Andes Region of Peru and the Mt. Elgon region of Uganda.

79. The EbA project was designed in the context of UN Environment's Climate Change Strategy. The overall objective of the Climate Change Strategy is 'to strengthen the ability of countries to integrate climate change responses into national development processes'. At the design stage and along the life span of the project, the EbA project's outcomes were aligned in several ways to the respective POW, most notably to integrate climate change responses and EbA into national development processes.

80. The project was aligned to the POW 2010-2011 to fit within the context of Expected Accomplishment (a) - on adaptation: i.e. 'adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data'. Expected Accomplishment (a) is in line with the fourth area mentioned under UN Environment's mandate that is "facilitating the development, implementation and evolution of norms and standards and developing coherent inter-linkages among international environmental conventions".

81. During project implementation, the project continued to be relevant to subsequent POW. For example, the project remained relevant to the POW 2012-2013 EA (a) – 'adaptation, including an EbA approach, is incorporated into country development planning and policymaking based on scientific assessments, policy and legislative advice and lessons learned from pilot projects supported by UN Environment and adaptation experiences, including an EbA, showcased at the global level'. For the POW 2014-2015, the project continued to be relevant to EA(A) Output 2 –

'technical support provided to countries to implement EbA demonstrations and supporting adaptation approaches, and to use upscale these through partnerships at regional and country level'.

82. The implementation of the project remained relevant to UN Environment's MTS 2014-2017 Expect Accomplishment (EA1) - 'Climate resilience: ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts'.

Alignment with the Bali Strategic Plan (BSP)[19]

83. The focus of the EbA Mountain project was to strengthen the capacity of countries particularly vulnerable to climate change impacts to build resilient ecosystems and communities. Thus, the project's objective is highly relevant to and consistent with the BSP for Technological Support and Capacity Building which aims at a more coherent, coordinated and effective delivery of capacity building and technical support at all levels and by all actors, in response to country priorities and needs.

Gender balance

84. The evaluation finds that the project was relevant to, and took into account gender issues with varying degrees of success at country level. First, the design and implementation of the EbA Mountain Project was gender-sensitive. In particular, women's participation in capacity building and decision-making was emphasized. Gender was taken into consideration when selecting participants for decision-making, trainings and application of EbA options. Thus, both women and men benefited from the capacity building initiatives, and implementation of EbA options.

85. In Nepal, the about 42% of the participants in EbA capacity development trainings were women. While 42% of the participants in ecosystem restoration interventions were women from targeted communities. Approximately 50% of beneficiaries of water conservation interventions were also women. Three specific trainings under the livelihood diversification interventions targeted women of disadvantaged and socially excluded groups, in which they composed 65% of the participants.

86. In Uganda, at least 30% of the project beneficiaries were women. While 37% of persons who participated in capacity enhancement interventions were women. At least 31% of the beneficiaries of the Payment for Ecosystem Services (PES) were women farmers. The construction of gravity flow schemes and water harvesting facilities ensure clean water supply to households and saved the women's time and efforts for collecting water for both animals and household use.

87. In Peru, it was reported that women segregation still exists in project area. However participation in the project was gender balanced. For example, 65 training workshops were conducted that involved 2,117 participants, and 57.2 % of the participants were women and 42.8 % were men. Twenty-one working groups were formed and had 389 attendees, of whom 61.4% were women and 38.6% men. Generally, many women, including the elderly were active participants, and during the evaluation many expressed their opinions openly (especially in Canchayllo and Tanta).

Human rights based approach (HRBA)

[19] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

88. Though human rights were not the primary focus of the project, in the project intervention theory human rights issues were considered i.e. principles of inclusion, participation, fairness in design and implementation. The project targeted the most vulnerable ecosystems in countries in which the poorest communities live and derive ecosystem services (including food, water and energy) and livelihoods. By reducing the vulnerability of the poor communities to climate change, the project promotes inclusive development.

89. Project beneficiaries participated in the selection and design of project sites and activities that are beneficial to them, and there were no cases of human rights violations. Moreover, the project results contributed to achievement of the right to food and water through addressing land degradation, engaging in soil and water conservation as well livelihood improvement activities that increased food and water access and security.

90. Implementation of the project also contributed to achievement of the right to good education and improved health through the promotion of income generating activities like bee keeping, increased tree planting (especially indigenous tree species) which can generate higher incomes to the farmers, providing for the needs of children to go to school. For the women and men involved in these incomes generating activities, their rights to decent employment as a source of livelihood was also fulfilled.

91. In Uganda, the project worked with the UN office of the Commissioner of Human Rights to build capacity of stakeholders to integrate climate change into the human rights agenda.

South-South Cooperation

92. Although not explicitly mentioned in the ProDocs, strengthening South-South Cooperation was key in project design and implementation in the context of capacity building, exchanging knowledge and sharing information on best practices and lessons learned. A key project element in this regard was the series of annual Global Learning and Technical Workshops – held in Berlin (Germany) in 2012, Mbale (Uganda) in 2013, Pokhara (Nepal) in 2014, Huancayo (Peru) in 2015, with wide representation from project participants at global and national levels, including field visits and facilitated discussions for effective sharing of lessons and best practice.

93. As a global project implemented in three south countries (Nepal, Peru and Uganda), the EbA Mountain project was global in nature, and designed to enhance south-south cooperation. The implementation of project enhanced mutual learning between the countries and took advantage of the strengths of the different partners at global, regional and national levels. Global learning and sharing of lessons learned in the three south countries were facilitated by UN Environment, UNDP and IUCN. The UN Environment's GAN served a global hub for linking southern centres of excellence working on EbA to document and disseminate successful experiences, knowledge and solutions to specified adaptation issues. This was achieved through its regional networks (i) the Regional Gateway for Technology Transfer and Climate Change Action (REGATTA) in Latin America and the Caribbean; (ii) the Asia Pacific Adaptation Network (APAN); (iii) and the West Asia Regional Network on Climate Change (WARN-CC); and (iv) the Africa Adaptation Knowledge Network (AAKNet). Regional climate change forums were convened through GAN to facilitate exchange of knowledge.

94. In addition, exchange visits were organized between countries, including supporting developing country participants' in Global events like the UNFCCC Conference of Parties (COPs) and the 9th International Conference on Community Based Adaptation (CBA9) in Kenya in 2015. All these in away contributed to building the adaptive capacity of vulnerable countries and regions.

3.1.2 Relevance to global, regional and national environmental issues and needs

95. The EbA Mountain project addresses one of the world's most pressing challenges of the 21st Century, climate change. Globally, there is increased recognition for the need to build climate change resilience through adaptation. Parties to the UNFCCC recognize the importance of promoting adaptation actions to reduce the vulnerability of countries to climate change.

96. At design, the project was consistent with the attainment of MDGs, most especially MDG 7 (ensure environmental sustainability). By enhancing ecosystem resilience and reducing vulnerability in countries, the project also contributes to attainment of MDG1 (eradication of poverty) as well as other MDGs. With the expiry of MDGs in 2015, project implementation now contributes to the achievement of Sustainable Development Goals (SDGs) - specifically: (i) SDG13 – 'taking urgent action to combat climate change and its impacts'; (ii) SDG15 – 'protecting, restoring and promoting sustainable use of terrestrial ecosystems, sustainable management of forests, combating desertification, and halting and reversing land degradation and halting biodiversity loss'; (iii) SDG1 – 'ending poverty in all its forms everywhere'; and (iv) SDG 2 – 'ending hunger, achieving food security and nutrition, and promoting sustainable agriculture'.

97. The project was designed to contribute to two of the 2020 targets on biodiversity, specifically target 14 on restoring and safeguarding ecosystems to ensure provision of ecosystem services and 15 on enhancing ecosystem resilience through conservation and restoration both under the strategic goal D of enhancing the benefits to all from biodiversity and ecosystem services.

98. Along implementation, the project has generated results and lessons that will contributes to implementation and achievement of UNFCCC Paris Agreement, more especially on climate change adaptation.

99. The project's aim was highly consistent with the challenges posed by climate change in the three target countries (Nepal, Peru and Uganda), and more specifically to mountain ecosystems and communities. As mentioned Section 2.1 (context), mountain ecosystems are facing severe ecological degradation due to the high population densities and the pressure that the population places on the critical but highly fragile natural resources. Due to the high altitude, steep slopes, rugged topography, the high rainfall and intensive use of mountain resources, mountain regions are highly vulnerable to the impacts of climate change: melting of ice, landslides, floods, run-off and soil erosion. However, mountain ecosystems are key elements of the hydrological cycle and can play an important role in climate change adaption.

100. **Nepal:** At design, the EbA Mountain project was aligned to Nepal's Three Year Plan (TYP) for the period 2010/11-2013/14, which was aimed at promoting green development, making development activities climate-friendly, mitigating the negative impacts of climate change and promoting adaptation. In addition, the project was relevant to Nepal's NAPA which recognizes that Nepal's high vulnerability to climate change is due to the country's fragile topography, deforestation and eroded soils.

101. The project was also aligned to Nepal's United Nations Development Assistance Framework (UNDAF) for the period 2008-2012 and UNDP Country Programme Action Plan (CPAP) for the period 2008-2012. The project's demonstration component was designed to contribute towards the UNDAF (2013-2017) outcome 7: '*people living in areas vulnerable to climate change and disasters benefit from improved risk management to hazard-related shocks',* and to contribute towards UNDP Nepal country programme outcome 4.1: '*environment and energy mainstreamed into national and local development planning with focus on gender, social inclusion and post-conflict environmental rehabilitation'.*

102. During implementation, the project remained relevant to Nepal's development objectives as indicated in the 13th TYP for 2013/14 – 2015/16 that was oriented towards attaining middle income status, achievement of MDGs, promoting sustainable development, adapting to climate change and alleviating poverty by promoting a green economy. Project implementation also remained consistent with the Nepal Biodiversity Strategy and Action Plan (2014-2020) that emphasizes biodiversity conservation and ecosystem resilience as keys to national prosperity.

103. At the local level, the project was relevant to local needs and priorities of the Panchase region where it was implemented. The region was selected because of its high vulnerability to climate change impacts, especially to landslides, flash floods and soil erosion.[20] In addition, the capacity to increase ecosystem and community resilience in the region is limited at the time of project design.

104. **Peru:** The project was relevant to the Government of Peru's environmental, sustainable development and climate change goals. The project was highly consistent with Peru's National and Subnational policies and legal Framework[21] on Climate Change. The project was highly relevant to the Climate Change Strategy (NCCS), formulated in 2003 and updated in 2009, as well as Peru's 2010 Second National Communication (SNC) to UNFCCC. The NCCS was developed to, among others, promote and develop policies, measures and projects that increase the adaptation capacity of the country to climate change to make it less vulnerable[22]. In addition, the government expected the project to increase EbA knowledge and research[23].

105. The project was coherent and responded to the institution's necessities and mandate. For instance, the MINAM and Regional Governments needed to update the Regional Climate Change Strategies, and MINAM and the SERNANP needed to update the Management Plan of the Nor Yauyos Cochas Landscape Reserve (RPNYC). Thus, the project area (RPNYC) was selected as the area of intervention on request by MINAM[24]. The project partners (UN Environment, UNDP, TMI/IUCN and SERNANP) then unanimous agreed that the Reserve should be the project area of intervention. At the local level, the project was coherent with the community's necessities. The communities of Tanta, Tomas, Canchayllo, and Miraflores are affected by climate change impacts: increasing temperatures, intensive. Communities in the region needed enhanced capacity to adapt to these impacts.

106. The project was relevant to Peru's UNDAF Peru (2012-2016) Result 11 – *'design, implement and / or strengthen policies, programs and plans, with a focus on environmental sustainability and a sustainable management approach of natural resources and conservation of biodiversity*'; and Result 12 – *'strengthened capacities …. for the integration of processes relating to management of risk disasters and adaption to climate change in policies, programs, and plans related to development to reduce the vulnerability and increase the flexibility of the population'.*

107. **Uganda:** The project reflects the challenges of economic development and poverty reduction embedded in Uganda's development vision, the Uganda Vision 2040[25], the National Development Plans[26] [27], and the various sectoral policies and strategies (*inter alia*: water and

[20] Ministry of Environment, Science and Technology, 2010. Climate Change Vulnerability Mapping for Nepal.
[21] Peru Eba Mountain Ecosystems Pro Doc: National Constitution (1993), Law for Environment and Natural resources (1991), Norms of the Conservation and Sustainable Use of BD (2000)_ that considers the conservation of BD as an adaptation strategy to CC. Law for Regional Governments (2002), The National Strategy for Climate Change (2003)
[22] UNEP, 2015. EbA for Mountain Ecosystems, ProDoc.
[23] Peru Eba Mountain Ecosystems Pro Doc
[24] Sistematization Document of the whole project: *El Futuro Ancestral: La Adaptación Basada en Ecosistemas*. March 2016
[25] Republic of Uganda, 2010. Uganda Vision 2040 (revised in 2012)
[26] Republic of Uganda, 2010. National Development Plan 2010/2011 – 2014/2015.
[27] Republic of Uganda, 2015. Second National Development Plan 2015/2016 – 2019/2020.

environment, and agriculture sectors). The project addresses the adaptation priorities identified in Uganda's NAPA, in particular, priorities 1, 2 and 3: land and land use, farm forestry and water resources respectively and 2: Integrated Water Resource Management and Information Systems for early warning and rapid intervention respectively.

108. The project was aligned to Uganda's UNDAF for the period 2010-2014; Outcome 2.2 *'vulnerable communities, government, civil society and private sectors are sustainably managing and utilizing the environment and natural resources for improved livelihoods and to cope with the impact of climate change'*; and Outcome2.3 '*vulnerable communities having improved access to socio-economic Infrastructure and systems for increased agricultural productivity, sustainable household income, and food and nutrition security'.*

109. At the local level, the project addressed local development and environmental needs of the Mt. Elgon region, that is highly vulnerable to climate change, but the capacity to increase ecosystem and community resilience at the local levels is limited. Participatory VIAs and stakeholder consultations were conducted in the region through which project sites (sub-catchment areas) and beneficiaries were identified in four districts - Bulambuli, Kapchorwa, Kween and Sironko.

The overall rating for project strategic relevance is "Highly Satisfactory"

3.2 Achievement of outputs

3.2.1 Component 1: Development of methodologies and tools for EbA decision making in mountain ecosystems Climate risk assessment and forecasting

110. **Output 1.1 - EbA assessment methodology and tools, options and indicators for monitoring available to decision makers in project countries.** Under this output, UN Environment engaged the World Conservation Monitoring Centre (WCMC) to develop EbA tools and methodologies. WCMC produced an EbA guidance paper entitled 'Ecosystem resilience to climate change: What is it and how can it be addressed in the context of climate change adaptation?'[28]. The paper was launched at UNFCCC COP17 in Durban, South Africa in 2011 and was used by country project teams to raise EbA awareness in countries.

111. Guidance documents for conducting rapid vulnerability assessments[29] and detailed VIA assessments[30] to inform EbA were developed and draft versions were used and customized to conduct country VIAs under component 2[31]. The guidance tools included an M&E framework with indicators to measure performance in implementation of EbA options. The framework was used to develop country M&E frameworks for measuring outcomes and impact of the EbA activities implemented in the pilot sites.

[28] UNEP-WCMC, 2014. Ecosystem resilience to climate change. What is it and how can it addressed in the context of climate change adaptation. Technical report. (This report was produced in 2011, although it was published in 2014).
[29] UNEP-WCMC, 2012. Guidance on rapid assessment of ecosystems services supply and management. A preliminary guidance for the BMUB project –EbA in Mountains
[30] UNEP-WCMC, 2015. Guidance on integrating ecosystem considerations into climate change vulnerability and impact assessments to inform ecosystem based adaptation. Technical Report.
[31] Although the country VIAs were conducted before the guidelines were complete, the draft versions of the guidelines and workshops conducted as part of the process of developing them were an important influence on the three VIA processes and facilitated the 'learning by doing' process. .

112. However, the project experienced delays in delivery of outputs under this component, which affected other components, most especially components 2 and 3. This is because a stepwise implementation of the project was envisaged at project design stage, in which EbA tools (including VIAs), were supposed to provide a foundation for implementation of other project components. The delays were reportedly caused by various factors: first was the delayed in disbursement of funds by BMUB to UN Environment that delayed commencement of the project (the funds were received by UN Environment in 2011). Secondly differences in approach emerged among partners. For example, UN Environment preferred a logical sequencing of project activities i.e. stepwise project implementation, starting with development of EbA tools, followed by detailed vulnerability assessments and then selection and implementation of EbA options. UNDP started with preparation of country specific Project Documents that had to be approved by governments (GoN, GoP, GoU) before the project could be launched at country level. At the same time, IUCN and the governments preferred implementation of adaptation actions after conducting rapid VIA through scoping visits, Participatory Rapid Appraisal, and other rapid participatory and assessment techniques. These measures enabled IUCN and government partners to plan and implement no-regret adaptation measures together with local community members. The rapid VIA outcome were later validated through the results of the detailed VIA.

113. Thirdly, while UN Environment's initial plan was to first conduct VIAs in mountain regions to guide the selection project sites, the governments of the three countries decided on the project regions (Panchase region in Nepal, NYCLR in Peru, and Mt. Elgon region in Uganda), and this necessitated a change in strategy and approach. Fourthly, the UN Environment experienced some delays in contracting WCMC to develop the EbA tools. Even within countries there were delays in contracting suppliers to conduct VIAs. Thus, the project started late at country level: August 2012 in Nepal, June 2011 in Peru, and April 2012 in Uganda.

114. While EbA guidance tools should have been developed and then applied to guide detailed VIAs at country level, time constraints could not allow the envisaged stepwise approach. Consequently, the guidance tools were developed parallel to the country VIA processes. Although the process of developing guidance was beneficial in informing the country VIA studies, the VIAs may not have benefited from the guidance tools as much as they should have if the guidance had been completed before the commencement of VIAs. However, given that this was a pilot project and therefore a learning process, conducting parallel activities proved beneficial to both activities. On the one hand the preparation of the guidance tools benefited from the on-going VIA activity in countries (learning by doing), while on the hand the VIA processes benefited the now flexible development of guidance tools and from the technical expertise of WCMC which was in the process of developing the tools and could therefore provide expert advice to the country VIA studies.

The overall rating on the delivery of outputs related to this Component is "Moderately Satisfactory".

3.2.2 Component 2: Application of methodologies and tools at ecosystem level

115. **Output 2.1 - EbA strategy and action plans at ecosystem level developed.** The delays by WCMC to deliver on component 1 compelled some partners (especially IUCN) to start project implementation based on scoping and assessment before the detailed VIA were completed. A lot of effort was put in participatory community planning at the beginning of the project, and IUCN conducted rapid vulnerability assessments (the one for Peru was more detailed) and identified

'quick-start activities' that were implemented in the pilot sites under component 3. These 'quick start activities' are also referred to as 'no-regret' adaptation measures in project documentation[32].

116. With technical support from WCMC, countries conducted comprehensive VIAs for the Panchase Mountain Ecological Region (PMER) in Nepal[33], NYCLR and its buffer zone in Peru[34], and Mt. Elgon region in Uganda[35]. The VIAs focused on understanding the vulnerability of ecosystems and communities in project pilot sites and how the adaptive capacity of communities could be enhanced. While the VIAs were much more detailed, they also served to broadly validate the rapid participatory vulnerability assessments undertaken by IUCN[36], which serves as a good lesson for future projects that require VIAs.

117. The PMER VIA (Nepal) proposed six EbA options to improve resilience of the PMER. In addition, an Atlas of PMER was produced which highlights the climate change vulnerabilities of the region[37]. Adaptation plans for the 13 sub watersheds in PMER were prepared. Out of the 13 sub-watersheds, three-priority sub-watershed (Harpan, Rati and Andhi) were selected, thoroughly analysed, and selected as pilot sites for project implementation.

118. The NYCLR VIA (Peru) provided information on the current climate and future climate change scenarios and these were useful in identification of vulnerable ecosystems and communities, selection of pilot sites and prioritization of EbA options to be implemented in the area. The VIA report also includes a spatial analysis of EbA options that includes eleven maps. EbA options and no-regret adaptation measures were identified and implemented under Component 3. 3D models were constructed for the two communities that were selected as pilot sites (Miraflores, and Canchayllo) as a means of communication with the communities on non-regret measures.

119. The Mt. Elgon VIA (Uganda) was used to select high climate change risk areas and informed the selection of pilot sites and EbA options for piloting. Five river micro-catchments were selected as pilot sites; Kaptokwoi and Sipi river micro-catchments in Kapchorwa Distrct, Ngenge river micro-catchment in Kween District, Sim river micro-catchment in Bulambuli District, and Sironko river micro-catchment in Sironko District. Climate change adaptation plans for 12 parishes were developed based on identification and mapping of vulnerabilities within the parishes. Parish climate change adaptation committees were formed to oversee the implementation of the adaptation plans.

The overall rating on the delivery of outputs related to this Component is "Satisfactory"

3.2.3 Component 3: Implementation of EbA pilots at ecosystem level

120. **Output 3.1 Technical and capacity building support on EbA planning, executing and monitoring delivered.** In the three target countries, capacity-building activities targeted decision makers at national and sub-national levels.

[32] The term "no-regret" is commonly used in the adaptation sector. No-regret activities are those, which have net benefits to local communities and ecosystems even in the absence of climate change impacts. And are done before the availability of a proper VIA. These also act as entry points and help in building trust with the communities.

[33] Dixit A., Karki M., & Shukla, A., 2015. Vulnerability and impact assessment for adaptation planning in Panchase mountain ecological region, Nepal.

[34] Dourojeanni P., Giada S., & Leclerc M., 2014. Vulnerability and Impact Assessment of the Climate Change in the Nor Yauyos Cochas Landscape Reserve and its Buffer Zone. Technical Summary.

[35] Ministry of Water and Environment (MWE), 2013. EbA for in Mountain ecosystems. VIA for the Mt. Elgon ecosystem. Main Report.

[36] IUCN, 2016. Final report for the EbA Mountain Project – Global Component.

[37] Dixit A., 2015. Climate change vulnerabilities and EbA: Atlas of Panchase mountain ecological region, Nepal.

121. **Nepal:** Trainings were conducted that targeted staff of the Western Regional Forest Directorate (WRFD), agriculture and livestock district line agencies, members of the Councils of the Panchase Protection Forest (PPF), Community Forest User Groups (CFUGs) women groups, and CBOs. Capacity enhancement trainings were packaged into two aspects: (i) knowledge-based training to raise awareness on climate change and adaptation and EbA; and (ii) skill-based trainings on forest management, ecosystem restoration as well as institutional development. In all, 6,159 persons participated in the trainings of which 41% were women.

122. **Peru:** Trainings were delivered to the regional government staff on the climate change adaptation, EbA concept, watershed management, community grassland management, conservation of fragile ecosystems and other 'no-regret' adaptation measures. No-regret adaptation training workshops were conducted[38] that resulted in the preparation of community watershed and grassland management plans. Based on the trainings, EbA was integrated in the Regional Climate Change Strategies of Junin and Lima regions. The project also facilitated the review and incorporation of EbA in the NYCLR Master Management Plan.

123. In all four pilot sites (Tanta, Tomas, Miraflores and Cahchayllo) Participatory Management Plans were developed and permanent committees to oversee their implementation were established. A permanent forum for information exchange was also established. Training Workshops took place (Canchayllo 2, Miraflores 2), 3D models of the watersheds were built (Canchayllo and Miraflores) and artistic events took place in Canchayllo and Miraflores.

124. **Uganda:** Capacity enhancement activities targeted decision makers and technical staff at national and district levels and community groups. A training manual was developed and used to train 340 persons in EbA principles, integration of EbA in District Development Plans (DDPs) and Disaster Risk Reduction (DRR) frameworks. Four District Adaptation Action Plans, 12 Parish Actions Plans and community landscape maps were developed. Adaptation committees (with 42% women representation) were put in place to operationalize the adaptation action plans.

125. The project supported EbA study tours and exposure visits for government leaders and technical staff, community groups and farmers to expose them to EbA and adaptation knowledge and best practices conducted elsewhere. In Nepal, the seven theme based exposure visits were conducted and involved 232 technical officers of government line agencies, Councils of PPF and CFUGs. 34% of the participants were women. In Peru, an exposure visit to another protected area involving members from the four NYCLR pilot communities was conducted to enable them learn about vicuña management and fibre collection. Additionally, members belonging to Tanta´s Vicuña Association participated in two exchange visits to a community that manages vicuñas, harvests fibre and does direct sales to international buyers. In Uganda, the exposure visits/study tours were conducted in Uganda and Kenya and involved 350 farmers, district and sub-county leaders and technical staff (220 men and 130 women)[39].

126. **Output 3.2 EbA strategy and actions implemented at ecosystem level.** Under this output, IUCN started to implement 'no regret' adaptation measures and other livelihood improvement

[38] Two workshops delivered to Miraflores and Canchayllo, the NYCLR and regional authorities by IUCN –and its international branch, the World Initiative for Sustainable pasture (WISP), two conferences for the decision makers for national and regional authorities and one for teachers and students of La Molina University; workshop organized by the IUCN, the SERNANP and the National Institute for the Sustainable Development (IISD) on the CRISTLA Parks tool (for the identification of risks, adaptation and livelihoods) to understand climate risk and integrate them in the reserves planning. A participatory 3D modelling was developed in Canchayllo and Miraflores and a theatre performance in each one. UN Environment organized a course with CATIE (Centro Agronomic Centre for Tropical Research and Training of Costa Rica) to the reserves chiefs of mountain reserves, MINAM and MEF on Ecosystem Services.

[39] UNDP, 2016. End of EbA for mountain ecosystems project completion report for Uganda, April 2016

interventions at ecosystem level in project sites before the detailed VIAs were completed. As mentioned under section 3.2.2 (achievement of outputs under component 2), rapid vulnerability assessments were conducted in the pilot sites through which 'no regret' adaptation measures were identified and implemented. The implemented 'no regret' adaptations measures were later validated by the detailed VIAs and consolidated as EbA activities. Efforts were also made to institutionalise them into long-term adaptation planning and learning.

127. **Nepal:** Based on the VIA study of the PMER, a Guidance Framework for piloting EbA in the Panchase region was produced. Four EbA thematic options were prioritised and piloted in three sub-watersheds (Harpan, Rati and Andhi). The options included: (i) ecosystem restoration, water conservation, land rehabilitation, and livelihood diversification

128. *Ecosystem restoration activities:* About 54,500 multiple-use trees and Non-Timber Forest Products (NTFPs) were planted in degraded and fallow lands (65 Ha) benefitting 2,496 households. Six tree nurseries were established with the capacity to produce 60,000 seedlings of high demand fodder trees, NTFP species and threatened local native species. About 26,000 seedlings of multiple-use trees were distributed to support agroforestry practice in fallow lands. Two nurseries were established with capacity to produce more than 20,000 seedlings of NTFPs and multiple use species.

129. *Water conservation:* 31 traditional water sources were conserved and water collection tanks constructed to store water during the rainy season and supply it during dry seasons, an initiative that benefitted 1,542 households. 35 conservation ponds were constructed/renovated to store water for domestic animals (especially buffaloes) and for downstream agriculture. About 1,800 households benefit for these interventions, and 150 ha of agriculture land has been irrigated using water from the conservation ponds during the dry seasons.

130. *Land rehabilitation:* The project supported rehabilitation of fallow and degraded lands through tree planting and bioengineering activities i.e. stream bank protection, river bank conservation, development of green belts and drain construction. Bioengineering interventions were applied in 72 vulnerable sites and have protected 120 ha of land from flash floods, soil erosion, and landslides. Tree and grass plantations were undertaken to supplement and strengthen the engineered structures along the riverbanks. In all, 2,496 households have benefited from the land rehabilitation interventions.

131. *Livelihood diversification:* Community interventions that reduce pressure on ecosystems and increase adaptive capacities were supported such as: promotion of NTFPs, ecotourism and farming. Amriso or broom grass, Chiraito and Timur were prioritised and promoted amongst the Community Forestry User Groups (CFUGs), Panchase Protection Forest Programme (PPFP) and women groups. Eco-tourism development was supported through homestay improvement and the prominent homestay villages supported by the project are Bhadaure, Sidhane, Chitre, and Arthar Dandakharka.

132. About 365 livestock farmers in Kaskikot, Bhadaure, Ramja and Arthar were trained on improved grass/fodder management, silage techniques, livestock rearing practices and rangeland management practices. Other livelihood improvement interventions were supported including improved cook stoves, mushroom growing, bee keeping, zero grazing especially in IUCN operated areas.

133. In all about 6,000 households in Panchase directly benefited from the EbA project interventions: ecosystem restoration – 575; water conservation – 3,342; land rehabilitation – 258; and livelihood diversification 1,771. The household beneficiaries interviewed reported their adaptive capacity has been enhanced by the project.

134. **Peru:** EbA and no-regret adaptation measures were prioritised and implemented in four pilot sites: Tanta, Tomas, Miraflores and Canchayllo. Based on the recommendations of the VIA Study pasture and vicuña management measures were priorities and implemented in Tanta and Tomas. The Tanta community was supported to fence community pastures (2,000 hectares) and to prepare pasture and livestock management plans for communal farms. In the two communities, private land of 15-20 individual members was also fenced. In Tanta, community land previously used for livestock was transformed into 'vicuña only territory' for soil protection and vicuña exploitation. Communities in Tanta and Tomas were trained in vicuñas management. In Tanta, 175 animals were treated against *Saracoptes scaibei*, and a year later 51 animals were captured for shearing. In Tomas 60 vicuñas were captured for shearing. The project also supported the communities with a market and fibre treatment study.

135. In Miraflores and Canchayllo, no-regret adaptation measures were implemented that include community-based sustainable water and native grassland management. In Canchayllo an ancestral hydrological infrastructure was improved by restoring and tubing a 2.8 km channel. A dam was also restored that irrigates 560 ha and provides natural watering places. In Miraflores a 4.4 km ancestral hydrological infrastructure was improved (restoring 2 km and tubing 2.4 km). The tubing in Canchayllo and Miraflores brings water from natural lakes to community grassland. At the same time, conservation and management of upper micro-watersheds, wetlands, and watercourses were conducted. In Canchayllo three monitoring lots (1 ha each) were installed, and in Miraflores protection zones were increased from 3 to 5 ha to promote native grassland recovery. An 80 ha zone was fenced for pasture management with rest periods.

136. **Uganda:** Based on the VIA study of the Mt. Elgon ecosystem and the EbA Guidance Framework for piloting EbA in the Mt. Elgon region, priority EbA measures were selected and implemented in five river micro-catchments namely: Kaptokwoi, Sipi, Ngenge, Sim, and Sironko. Ecosystem restoration interventions focused at community-driven river micro-catchment revegetation, restoration and protection of riverbanks (buffers), tree planting (indigenous species), biodiversity conservation, as well as agroforestry and soil and water conservation. A two-acre community EbA demonstration and learning centre was put in place at Sanzara in kapchorwa district.

137. In Kapchowa and Kween Districts, 850 landowners planted 220,000 trees for various purposes: landscape restoration, riverbank protection, shade, windbreaks, fruits and agroforestry purposes. 1,800 households and landowners engaged in soil and water conservation practices. 175 landowners adopted perennial crops (especially bananas) as alternative crops for food and for income generation. In Bulambuli and Sironko districts, 69 community groups comprising 270 households engaged in sustainable land management practices through which 63 ha was put under improved land management, 7,239 trees planted, and 23,640 metres of grassed waterways was put in place.

138. A community conservation fund and a PES mechanism were developed and implemented in the pilot sites as incentives for EbA. The PES model, developed by ECOTRUST, was implemented in Bulambuli and Sironko Districts and involves payments for carbon sequestration through tree planting and payments for watershed services. Bundled credits based on tree planting; soil and water conservation measures, and riverbank management to protect watersheds and carbon storage are being sold on the international carbon market. Up to 113 farmers were recruited (in 12 farmers' groups) and they are participating in piloting the PES facility. By the close of the project (30 June 2016), the PES mechanism had been sequestered 4,110tCO_2 (the target for the next two years is 8,949.73 tCO_2 valued at USD 71,597.81, including the co-benefits).

139. The community conservation fund developed by IUCN was implemented in Kapachorwa and Kween Districts. A benefit-sharing scheme was developed at the Sanzara Community Demonstration and Learning Centre to motivate communities to participate in EbA activities. The benefit-sharing scheme is performance based. All the tangible proceeds from the learning centre are equitably shared among the active participants according to individual performance determined by the number of Monthly Performance Cards (MPCs).

140. An incentive for watershed management was also developed and implemented. The performance-based approach has enhanced community financial capital through the establishment of community revolving funds (US$ 80,000) and cash grants (US$ 12,000). Above all, the incentive succeeded in creating buy-in from communities to engaged ecosystem restoration and sustainable land management. Up to 2,850 households in 38 villages (12 parishes) have directly benefited from the fund. Community driven river micro-catchment re-vegetation along Sipi, Kaptokwoi and Ngenge rivers was successfully achieved through this incentive. The communities were trained in financial management and are now managing the revolving fund.

141. The project put in place Gravity Flow Schemes (GFS) and water harvesting facilities in the pilot sites. The GFS were both incentives and nature-based solutions to enhancing community and ecosystem resilience. In addition, the project supported livelihood improvement interventions in communities that could reduce pressure on ecosystems and increase adaptive capacities and increase resilience. The interventions include improved cook stoves, mushroom growing, bee keeping, zero grazing, unbaked brick making, tree nurseries and tree planting, agroforestry, irrigation and backyard gardening.

142. Project implementation tried to make the 'no regret' adaptation and livelihood improvement measures climate smart and consistent with EbA, and as already mentioned most of the measures were validated by the detailed VIA studies. For example, it was reported that in the case of agroforestry, the selection of tree species for planting was informed by future changes in climate. In the case of irrigation, water efficient techniques were prioritized considering future water stress that would arise with a changing climate (increased droughts). Nonetheless, this evaluation confirms that some livelihood improvement interventions that the project engaged in were not novel. Interviews with communities in all project sites s indicated that these initiatives were already in existence before the commencement of the project, but were scaled-up while others made climate smart. For a few of them, especially farming and livestock rearing, were used as no-regret with no direct link with EbA but used as incentives for participation in the project activities by IUCN.

143. In all, this evaluation finds that project outputs from Components 1 and 2 were instrumental in enhancing the technical capacity of local government officials and communities to prioritize EbA options for specific areas for implementation. While, delays were experienced in delivery of the outputs under component 1 and 2 (EbA tools and detailed VIAs), the project was able to succeed in implementing outputs under component 3. The success is largely due to the flexibility whereby rapid vulnerability assessments were conducted and no-regret adaptation measures implanted before completion of detailed VIAs. This allowed a 'learning by doing approach' that was essential for a pilot project of this nature. The extension of the project period up to June 2016 was also instrumental in the successful delivery of outputs under this component.

The overall rating of the delivery of outputs related to this Component is "Highly Satisfactory"

3.2.4 Component 4: Business case for EBA at the local and national levels developed

144. **Output 4.1 Guidance notes for Business Case for EbA and the cost-coefficients developed and shared with the relevant governments at national level.** Through the strong partnerships

built, the studies conducted and successful delivery of project outputs under components 1-3, achievements, the EbA Mountain project built a case for adoption of EbA at national and global levels. For example, project partners worked closely with the UNFCCC Nairobi Work Programme (NWP) on EbA. UN Environment hosted the NWP planning workshop on EbA in 2012. The workshop report was ratified by UNFCCC SBSTA, and it contributed towards integration of ecosystem based approaches for adaptation into UNFCCC reports[40] and database[41].

145. The Cost Benefit Analysis (CBA) approach was applied to the EbA Mountain project and it determined the cost-effectiveness of the EbA options piloted at ecosystem level in countries. The project produced global publication *'Making the Case for Ecosystem Based Adaptation - The Global Mountain EbA Programme in Nepal, Peru and Uganda'*[42]. The publication was launched at a UNFCCC COP21 side-event in Paris, France in November 2015.

146. **Nepal:** A CBA of NTFPs Amriso (*Thysanolaena maxima*) or Broom Grass and Timur (*Zanthoxylum alatum*) was conducted which determined their contribution to building ecosystem and community resilience to the impacts of climate change[43]. A CBA approach was also applied to bioengineering or grey-green structures implemented by EbA project in PMER to understand the contribution of the measures towards ecosystem restoration, conservation of ecosystem services and mitigating the impacts of climate induced hazards[44]. The analyses determined that both interventions are effective and viable.

147. The EbA Mountain Project supported Nepal's DoF to prepare the Protection Forest Directive.[45] The project also supported the DoF, PPFP and the Councils of PPF to review the five-year PPF Management Plan through which recommendations have been made for integration of the EbA approach and measures in implementation of the Plan. Technical assistance was provided to the Climate Change Workshop Group (CCWG), put in place by the MoFSC, through which EbA options were integrated in policy 6 of the Forest Policy 2071. Furthermore, a national multi-sectoral EbA Technical Committee (TC) was formed under the leadership of the Joint Secretary of MoFSC, to spearhead the mainstreaming EbA into sectoral policies, plans and strategies.[46] However, by the close of the project success had not been attained to integrate of EBA in national and sectoral policies and plans

148. **Uganda:** A CBA study was conducted on land management practices to establish the current and potential contribution of EbA practice to livelihoods improvement and conservation of the Mount Elgon ecosystem.[47] The CBA compared the outcomes of farmer who adopts EbA farming practices (reforestation and soil and water conservation) with a farmer who does not adopt these measures and rather continues with business as usual. The results of the CBA proved that EbA practice was not only viable, but also that the viability can be sustained in the long-term.

[40] UNFCCC, 2013. Report on the technical workshop on ecosystem based adaptation approaches for adaptation to climate change. http://unfccc.int/resource/docs/2013/sbsta/eng/02.pdf
[41] IUCN, 2016. Final report for the EbA Mountain Project – Global Component.
[42] UNDP, 2015. Making the case for EbA: The global EbA programme in Nepal, Peru and Uganda.
[43] UNDP/GoN, 2015. Non-Timber Forest Products and Their Role in Ecosystem and Community Resilience. Cost Benefit of Analysis of NTFPs. Based on Cost Benefit Analysis Case Study prepared by Dr. Keshav Raj Kanel for the EbA Nepal Project.
[44] UNDP/GoN, 2015. Grey Green Structures as Treatment to Climate Induced Disasters: A Cost Benefit Analysis of Grey Green Structures. Based on Cost Benefit Analysis Case Study prepared by Dr. Keshav Raj Kanel for the EbA Nepal Project.
[45] The Directive is undergoing review at the MoF and MoFSC.
[46] The TC committee is composed of representatives from departments under the MoFSC i.e. DoF, REDD Implementation Centre, Department of Soil Conservation and Watershed Management, DNPWC, as well as Under Sectaries from National Planning Commission, Ministry of Federal Affairs and Local Development, Ministry of Science, Technology and Environment and the Ministry of Agriculture Development.
[47] UNDP, 2015. Making the case for EbA: The global EbA programme in Nepal, Peru and Uganda

149. The practice of EbA was found to be viable throughout the landscape in the pilot sites except for the midstream areas in Kapchorwa and Kween Districts, where poor absorption of EbA practices, rather than the use of the EbA practices per se, seemed to result in this performance.[48] Even in the areas where EbA practice was not viable, the failure to achieve positive outcomes was more a result of partial or flawed implementation of EbA practices, rather than the EbA practices themselves. To a certain land shortage/small landholdings in Mt. Elgon region and the heavy investments required for the measures applied constrained achievement of significant benefits.

150. A policy analysis and opportunities study was also conducted[49]. The study highlighted the policy gaps and opportunities that can be taken into consideration in making a case for EbA at national level and integrating EbA in development policy frameworks. The PES mechanism developed under component 3 was officially launched in March 2015 by the then Minister of Water and Environment. The GoU has expressed support for the PES facility and regard it as self-sustaining model through the continued generation of credits by implementing catchment-scale EbA measures that aligned to local adaptation strategies.

151. **Peru:** Two CBA studies were conducted one by UNDP and the other by IUCN. UNDP focused on landscape/pasture management, and vicuña management in the wild Tanta. The IUCN CBA focused on infrastructure and non-regret measures implemented in Canchayllo and Miraflores. However, it was noted that IUCN had not shared its CBA report with other partners. In Peru, there is increased recognition of the benefits of EbA. Consensus has been reached to integrate EbA in national and sectoral policies. MINAM has provided national guidelines for promoting EbA in Public Investment Policies (PIF) for the period 2015-2021 related to biodiversity and ecosystem management. It is expected the PIF instrument will facilitate new and additional public investment aligned to the National Biodiversity Strategy. These successes have been achieved through engagements with other International Cooperation projects and programmes led by MINAM and Minister of Finance (MEF).

152. This evaluation identified one main challenge regarding the CBA. The CBA studies were conducted towards the end of the project and thus their results did not inform implementation of EbA option in pilot sites. Ideally, the CBA studies should have been conducted in the early stages of the project to assess the EbA options to inform the selection of options for piloting (ranking and prioritization of options), which was not the case. The CBA studies were conducted late in the project period because the VIAs, which should have determined the scope of the CBA, were delivered late. Nonetheless, in the absence of detailed CBA studies, rapid CBAs should have been conducted (as was the case with rapid vulnerability assessments) to inform the selection of quick start EbA options for early implementation. Such an approach would have avoided implementation of measures in Uganda, that CBA found not to be that cost-effective and beneficial, such as promoting tree planting among households with small landholdings.

The evaluation rating of the delivery of outputs related to this component is "Highly Satisfactory"

3.2.5 Component 5: Development of a learning and knowledge management framework

153. **Output 5.1- Knowledge products to capture lessons on EbA produced and disseminated:** In early 2014, the project was expanded to include a cross cutting component on Learning and Knowledge Management. The activities under this output were geared at strengthening learning from EbA pilots in Panchase, NYCLR and Mount Elgon, beyond local and country levels to inter-

[48] UNDP, 2015. Making the case for EbA: The global EbA programme in Nepal, Peru and Uganda
[49] Ministry of Water and Environment, 2014. Public policy and financing framework for EbA in Mt. Elgon ecosystem

country, regional and global levels. Several activities were undertaken to document and disseminate EbA knowledge products and lessons learned from the project sites and countries.

154. The project convened high-level events (meetings, workshops, conferences) at national and global levels that were attended by very senior personnel at which EbA lessons learned were shared. For example, with support from BMUB, the project partners initiated a global EbA network - the Friends of EbA (FEBA) that held its first meeting on 5 June 2015 in Bonn, Germany. The FEBA network is now composed of international organizations and UN agencies involved in EbA related work and focuses on promoting EbA as an effective approach for enhancing human climate resilience through knowledge sharing and influencing policies in a collaborative manner. UN Environment, UNDP, IUCN and TMI, (which is partner in the EbA Mountain project), are part of FEBA along with UNFCCC NWP and CBD Secretariat.

155. To generate knowledge and share lessons learned related to implementation of no-regret adaptation activities, IUCN produced a synthesis document, *'EbA- Building on No Regret Adaptation Measures'* which was launched at the UNFCCC COP20 in Lima, Peru.[50] . At the COP20 in Lima, two EbA side events were organized on *Making Ecosystem based Adaptation Effective: Lessons from the Field;* and Climate Mitigation and Adaptation in Forest Landscape Restoration: Exploring the Synergies.

156. A COP21 side event was organized by the UNDP Global Team to launch a global publication on EbA titled 'Making Case for EbA'. The side event was attended by FEBA. Further, learning and knowledge generated through the Mt EbA project was shared various global gatherings of the UNFCCC and CBD. For example, 13 EbA related events were held at COP21 in which over 60 experts from Parties, UN agencies, INGOs, academia, and donors deliberated on EbA related topics through interactive discourse[51].

157. Project country team organized four annual Global Learning and Technical Workshop for the Global Mountain EbA Programme workshops in Germany in 2012, Uganda 2013, Nepal 2014 and Peru 2015. The Peru workshop in 2015 was particularly important because it informed international negotiation processes in the context of the Convention on Biodiversity (CBD) and UNFCCC.

158. Four mountain EbA learning briefs were prepared and disseminated: (i) a nature-based response to climate change provides an introduction to EbA; (ii) generating multiple benefits from EbA in mountain ecosystems; (iii) making the economic case for EbA; and, (iv) making the case for policy change and financing. Learning Briefs 2-4 are based on information from the programme's legacy report 'Making the Case for Ecosystem-based Adaptation'.

159. The global UNDP programme team supported country teams to produce a series of photo essays documenting key EbA initiatives, achievements and lessons learned in countries. These essays are being showcased on the UNDP Exposure Site and UN Environment websites as an improvement in the ecosystem based adaptation strategy to climate change. By the end of 2015, a total of 14 EbA photo essays (four on Nepal, five on Peru, and six on Uganda) had been produced on the UNDP-ALM website and had been viewed 177,071 times.

160. EbA policy briefs were prepared at country level that captured the lessons learned on implementation of EbA, opportunities for financing and way forward for EbA. The policy briefs were shared in different forums and workshop held nationally and internationally, and generated policy

[50] IUCN, 2014. EbA: Building on no-regret adaptation measures. Technical paper delivered on COP20 Lima 1-12 December, 2014. http://www.iucn.org/sites/dev/files/content/documents/iucn_eba_technical_paper_no_regret_actions_lima_cop_20.pdf
[51] IUCN, 2016. Final report for the EbA Mountain Project – Global Component.

level discussion on the cost-effectiveness of EbA. In Nepal and Uganda, the project produced documentary films on EbA. The films communicate the lessons learned from the EbA project.

161. An adaptation Learning Centre was also put in place in Nepal and Uganda countries. In Nepal, the project facilitated the establishment of Resource Centre at Bhanjyang in Kaski District to disseminate information about EbA and conservation of Panchase. The Centre is being managed by the Main Council of the PPF. The Resource Centre will be equipped with all knowledge documents related to EbA including academic research work, data on EbA activities, and maps. In Uganda, a community demonstration and learning centre was put in place at Sanzara in Kapchorwa District. Adaptation Learning Centres were also constructed Sironko and Bulambuli districts act as hubs to for documenting and dissemination of information and knowledge on climate change adaptation.

162. In Uganda, the project facilitated the formation and launch of the Mt. Elgon Stakeholders Forum. The forum provides a platform for engaging, raising awareness and popularising EbA among stakeholders. The Forum has a website which holds EbA information.[52]

163. IUCN developed an EbA Learning Framework[53] for mapping and assessing the effectiveness of EbA related initiatives. The project partners used the framework to map their wider EbA related projects work. The mapping exercise established that almost 200 EbA related projects were being or had been implemented by partners, However, these initiatives were not directly related to the EbA Mountain Project

The evaluation rating of the delivery of outputs related to this Component is "Highly Satisfactory"

The overall evaluation rating of the delivery of outputs is "Satisfactory"

3.3 Effectiveness: Attainment of objectives and planned results

3.3.1 Achievement of direct outcomes as defined in the reconstructed Theory of Change

Immediate Outcome 1: Decision makers adopt and apply EbA methodologies and tools to make better and informed EbA decisions.

164. The project was successful in enhancing the capacity of decision makers in countries to apply EbA methodologies and tools to make better and informed EbA decisions. For example, the EbA guidance tools developed were used to raise EbA awareness in the project sites. The VIA guidance documents developed by the project were used to identify climate change vulnerability hot spots/pilot sites in the Panchase, NYCLR, and Mt. Elgon regions. The prioritized vulnerable sites were supported under the EbA project. A handbook documenting EbA good practices in Nepal was used to guide piloting of EbA options in the Panchase region.

Immediate Outcome 2: Application of EbA methodologies and action plans at ecosystem level increases awareness and knowledge of EbA principles and approaches.

165. The project was successful in applying the generated EbA tools and methodologies at ecosystem level in the pilot sites in the three countries, which increased stakeholders and decision-makers' awareness and knowledge of EbA principles and approaches. In Nepal, application of VIA methodology, capacity enhancement trainings, and exposure visits resulted in the preparation of 13 sub-watershed adaptation action plans for the entire PMER. Three sub-watershed action plans were

[52] http://mtelgonforum.org
[53] IUCN, 2014. Nature based solutions for human resilience. A mapping analysis of IUCN's EbA projects: http://www.iucn.org/sites/dev/files/content/documents/eba_in_iucn_mapping_analysis.pdf.

prioritized and implemented. In addition, the VIA methodology and tools were used SNNP in the integration of EbA in the SNNP management plan.

166. In Uganda, application of the VIA and the capacity gained thorough trainings and exposure visits were used to develop community adaptation action plans and EbA action plans at district level, Some of the EbA tools are being applied by other projects/institutions outside Mt. Elgon to identify project sites. For example, the Lake Kioga Management Project used the VIA tool to select project sites and Office of the Prime Minister (Department of Disaster Preparedness) has deployed VIAs in countrywide hazard and vulnerability mapping.

167. In Peru, the VIA Study[54] was initially aimed at identifying two most vulnerable communities, from the 11 communities in NYCLR, in which EbA would be piloted. While the project worked in four communities/pilot sites, the VIA Study helped to select only one community (Tanta). Miraflores and Canchayllo were identified by IUCN using a Community Based approach. On the other hand, Tomas was selected towards the end of the project (January 2015). Due to the high interest in EbA approach by the Tomas community, UNDP started replicating EbA in there.

168. Nonetheless, the VIA Study identified major working themes and the EbA measures, and validated the non-regret measures. Due to time constraints, only a few of the EbA measures identified by the VIA studies could be implemented in the pilot sites.

Immediate Outcome 3: Implementation of EbA pilots and demonstrations results enhances the ability of decision makers to plan, implement and monitor EbA at national and ecosystem level.

169. The successful implementation of EbA options enhanced the capacity of decision makers in countries to plan, implement and monitor EbA. Overall, the high success gained in raising EbA awareness, knowledge and skills at national, sub-national and community level led to increased confidence not only in EbA, but also in climate change adaptation, and the need to restore degraded ecosystems, which were effective in ensuring the take-off of the EbA project interventions in countries.

170. The capacity enhancement interventions deployed by the project in the three countries increased policy and decision makers' EbA awareness, knowledge and skills i.e. the knowledge based and skills based trainings conducted, as well as the exposure visits (study tours) involved policy and decision makers. The study tours and exposure visits were very instrumental in increasing the decision makers' confidence in EbA and climate change adaptation. This in a way catalyzed not only the preparation and implementation of adaptation action plans at ecosystem level but also the integration of EbA in policy and planning process at local and national levels in countries (further discussed in outcome 4).

171. In addition, the active participation of policy and decision makers in VIA and CBA studies and in the selection and implementation of EbA options at ecosystem level enhanced their ability to plan, implements and monitor EbA projects and programmes. Moreover, the tools, guidelines and training manuals produced by the project will continue to be used by decision makers to inform/guide then in EbA planning, implementation and monitoring.

172. The successful implementation of EbA options at ecosystem level (ecosystem restoration, soil and water conservation, land rehabilitation, no regret adaptation measures and other livelihood diversification measures) generated benefits that enhanced the adaptive capacity of households and

[54] NYCLR and its Buffer Zone VIA Study 2014

communities in project sites. Examples of the benefits reported by beneficiary communities and households: include increased agricultural production, reduced land degradation, reduced soil erosion and landslides, reduced siltation of river/streams, and improved water quality among others. These ecosystem level benefits were crucial in increasing the confidence of policy and decision makers (at local and national levels) in applying EbA. As a result, the policy and decision makers realized the need and participated in process to mainstream EbA in policy and planning process further discussed in achievement of outcome 4.

173. In Uganda, the implementation of PES mechanism that catalyzed the adoption of EbA options and off-farm climate resilient practices provides a good example of financing EbA implementation at the local level. The policy and decision makers interacted with during this evaluation confirmed that the financial capital and adaptive capacity of participating communities has been enhanced. There are plans to adopt and scale up the PES model in the planning and implementing EbA, as one the incentives and financing mechanisms in Uganda.

Immediate Outcome 4: Evidence base from EbA cost-benefit analysis and interventions informs public policy and investment in EbA in mountain countries.

174. The EbA Mountain project was highly successful in conducting the EbA CBA and policy studies and using the study results to make case for adoption of EbA at the global, national and local levels. Overall, the results of the project influenced the incorporation of EbA in the three countries' policy and planning processes. For example, EbA was incorporated in their INDCs that were submitted to UNFCCC. Peru even went a step further and budgeted for EbA in its INDC. The three countries also supported the adoption UNEA resolution 1/8 on promoting EbA.

175. Uganda has registered the greatest policy achievements. The CBA and policy analysis studies are informing national planning processes in the National Planning Authority (NPA), the Ministry of Finance, Planning and Economic Development (MoFPED), as well as sectoral and local government planning. EbA was integrated in the country's National Climate Change Policy (NCCP) and the Second Five-year National Development Plan (NDPII) for the period 2015/16 – 2019-2040. In addition, the results of the CBA study are being used to inform Uganda's NAP process, and the MWE is developing guidelines for integration of EbA in national and sectoral development policies and plans.

176. Although EbA is not yet fully integrated in Nepal's national and sectoral policies, significant achievements have been attained in that regard. The results of the CBA study were used to build for a case for public sector financing for EbA and for integration of EbA in policy. For example, EbA has been integrated in Nepal's Forest Sector Strategy (2015-2025), the SNNP management plan, and Protective Forestry Directive (now pending approval by Cabinet). The project team provided inputs to the process of integrating EbA in Section 6 of the Forest Policy 2071. The high-level multi-sectoral EbA technical committee put in place formed under MoFSC has been tasked to spearhead further integration EbA into national and sectoral policies.

177. A significant outcome of the project in Nepal is that with increased confidence in EbA, some sectors and local governments have begun to allocate some financial resources in their budgets to implementation of EbA. The MoFSC has provided an additional NRs. 2,000,000 (about USD 200,000) in its budget to support the activities implemented by the EbA project in the financial year 2016/2017. The DoF has also allocated financial resources to the sub-watersheds where the EbA project was piloted to extend implementation of EbA options to VDCs that were not part of the pilots. However, achievement of this outcome in Nepal was greatly affected by earthquake of April 2015, which shifted the attention of Nepal's decision makers from the EbA project to manage the effects of the earthquake disaster.

178. In Peru, the involvement of key ministries of environment and finance (MINAM and MEF) in the EbA Mountain project facilitated the integration of EbA in one financial mechanism[55] with a specific financial line on adaptation. The financial line has been used for piloting in Tomas. Increased national interest EbA resulted into the incorporation of EbA in the NYCLR Management Plan and the Junin and Lima Regional Climate Change Strategies, which in effect allows mainstreaming on the plans and activities of the regions. In addition, the GoP recognized the success of EbA Mountain Project in Peru by giving the project the "II Lessons Learnt in Project Management" award, in recognition of the project's contribution to country on EbA matters[56].

Immediate Outcome 5: Increased EbA awareness and knowledge builds a case for adoption of EbA in mountain ecosystem management.

179. The project was effective in communication and knowledge management, which put EbA at the local, national and global pedestal. The project generated and shared various communication materials using different fora (media, websites, stakeholder forums, conferences and workshops). By doing so the EbA awareness and knowledge has been increased which has built a case for its adoption.

180. The most important knowledge product generated by the EbA Mountain project is the global publication *'Making the Case for Ecosystem-based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda'.* The implementing partners distributed hard and soft copies of the publication, and the learning briefs derived from it, and the publication is available on partners' websites. The publication will remain an important legacy product of the EbA programme and remains useful for policy makers and donors in planning and allocating of resources for EbA and adaptation action.

181. Several platforms were used to share project results. In Uganda, the Mt. Elgon Stakeholder Forum formed as a result of the project enable sharing of EbA knowledge at local and national level. At the global level, the FEBA network and UNFCCC COPs enabled sharing of country-level EbA results with the global EbA community. Within project countries, radios and ICT were used to raise EbA awareness and knowledge. In Uganda, a participatory radio programmes was an important extension tool that reached community members who were not, or were partially involved in the project. This enabled farmer-to-farmer learning and uptake of the interventions even beyond the project sites. The documentary films developed by the project in Nepal and Uganda provide lessons learned for adoption of EbA for improved climate change adaptation.

182. Making the case for policy change for EbA at global level has entailed ongoing sharing of lessons learned, and dialogue, technical advice and policy advocacy by all programme partners through a range of global platforms (FEBA, UNFCCC COP side events etc). The respondents interviewed from UN Environment, IUCN and UNDP indicated that the EbA programme has, through these means, increased understanding and acceptance of EbA discourse at global policy level. For example, technical support was provided to Conservation International to scope and plan the IKI-supported workshop on Integrating EbA into National Adaptation Plans and EbA Knowledge Exchange held in Bonn in June 2015.

The rating for overall achievement of outcomes is "Satisfactory"

[55] Lineamientos de Politica en Inversion Publica en materia de Diversidad Biológica y Servicios Eco sistémicos. 2015 -2012. Point 2.3.2 (item 1.4)

[56] UNEP, 2015. EbA in mountain ecosystems. Annual progress report of the EbA Mountain programme to the BMUB, 2015.

3.3.2 Likelihood of impact using the Review of Outcomes to Impact (ROtI) approach

183. The likelihood of achievement of project impact (to increase the resilience of ecosystems and reduce the vulnerability of communities in mountain regions to climate change) is examined using the ROtI analysis and TOC. A summary of the results and ratings are given in Table 4.

184. The likelihood of impact depends on several external factors and conditions moving toward the higher-level objectives of the results chain. It is assessed in terms of the extent to which change is happening along the project results chains from immediate outcomes over the main outcome and intermediate states towards impacts, based on the reconstructed TOC (Section 2.9). The critical question is the extent to which the EbA project is likely to achieve the intended impact in Nepal, Peru and Uganda. The details, observations, examples and highlights of moving toward intermediate states pertaining to project activities 2011-2016 provided below are largely drawn from interviews and project documents obtained from UN Environment, UNDP Country Offices, IUCN Country Officers, lead implementation partners in countries and field visits to the Panchase region, NYCLR and Mt. Elgon.

185. The outcomes achieved have implicit forward linkages to intermediate states and impacts. The adoption of EbA tools and methodologies; increased awareness and knowledge of EbA principles and approaches; enhanced capacity of decisions makers to plan, implement and monitor EbA; the integration of EbA in policy and planning processes; and the improved knowledge of EbA good practices have forward linkages to increase the resilience of ecosystems and reduce the vulnerability of communities in the project regions to climate change. However, the project did not have a clear exit strategy and the responsibilities for scaling up project results and moving the process towards impact are not clearly allocated after project ends. Thus, **rating of progress towards Outcomes is "B".**

186. Some progress has already been made at country level that is likely to translate into increased ecosystem resilience and reduced community vulnerability as discussed in Section 3.3.1 (achievement of direct outcomes). The increased capacity to plan and implement EbA options at ecosystem level, integration of EbA into sectoral policies and strategies, and the partnerships built are likely to translate into increased application of EbA. The integration of EbA in the country INDCs is a commitment to scale up and replicate EbA in countries, which could attract international technical and financial support. This indicates progress towards intermediate state and impacts. In addition, there is country and community ownership and driven-ness of the project results, which is likely to increase investment in EbA application.

187. Given that EbA impact (ecosystem and community resilience) can only be achieved in the long-term, momentum could be lost if the project results are no maintained in the medium to long term. In all the three countries, follow up projects/interventions and financing are needed to drive/scale up the project results, to progress towards the intended impact. The project built a case for adoption of EbA at country and global level and the integration of EbA in national and global policy. However, limited funding at country level could limit the scaling-up and replication of the project results, which would be required to reach impact. While Nepal and Peru some funding has been allocated in sectoral budgets to scale-up project results, the funding is still inadequate to effectively replicate the project results. **Rating of progress towards the Intermediate States is "C".**

188. The overall aggregate RoTI rating for this project is **"BC".** The Project, with an aggregated rating of BC+ can be rated as **"Moderately Likely"** to achieve the expected Impact (Table 6). The justification of the rating is presented below (Tables 4 and 5).

The project is considered "Moderately Likely" to achieve impact.

Project Objective	to strengthen the capacity of countries that are particularly vulnerable to climate change impacts to build ecosystem resilience for promoting EbA options and to reduce the vulnerability of communities with emphasis on mountain ecosystems						
Outputs	**Outcomes**	**Rating (D-A)**	**Intermediate State**	**Rating (D-A)**	**Impact**	**Rating +**	**Overall rating**
1.1 EbA assessment methodology and tools, options and indicators for monitoring available to decision makers in countries.	1. Decision makers in countries adopt and apply EbA methodologies and tools to make better and informed EbA decisions.	**B**	Countries have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems Plans, policies, strategies and actions that integrate EbA (at national, local and community levels Increased uptake and scaling-up of EbA practises by national and local governments and communities in mountain ecosystem to adapt to a changing climate Enhanced ability of the population and communities in mountain regions to adapt to a changing climate	**C**	Increased ecosystem resilience and reduced vulnerability of communities in mountain regions to climate change	The rating is given a **'+'** notation indicating that there is evidence of impacts accruing within the life of the project.	**BC**
2.1 EbA strategy and action plans at ecosystem level developed in countries	2. Application of EbA methodologies and action plans at ecosystem level increases EbA awareness, knowledge and skills to build mountain ecosystem resilience.						
3.1 Technical and capacity building support on EbA planning, executing and monitoring delivered.	3. Implementation of EbA pilots and demonstrations enhances the ability of decisions makers to plan, implement and monitor EbA at national and ecosystem level						
3.2 Pilot demonstrations delivered contributing to EbA strategies and actions plans being developed in three different countries.							
4.1 Guidance notes for Business Case for EbA and the cost-coefficients developed and shared with the relevant governments at national level.	4. Evidence base from EbA cost-benefit analysis and interventions informs public policy and investment in EbA in countries						
5.1 Knowledge products to capture lessons on EbA produced and disseminated.	5. Increased EbA awareness and knowledge builds a case for adoption of EbA in mountain ecosystem management.						
	Rating justification B: The **B** rating indicates that project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.		**Rating justification C:** The rating **C** reflects that measures designed to move towards intermediate states have started, but have not produced results.			**Rating justification AC+:** The rating B**C** corresponds to 'Moderately Likely' that the impact will be achieved.	

Table 4: Results and ratings of Review of Outcome to Impact Analysis

Table 5. Rating scale for outcomes and progress towards 'intermediate states'

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long-term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long-term impact.

Table 6: 'Overall likelihood of impact achievement' on a six point scale

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA 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
NB: projects that achieve documented changes in environmental status during the project's lifetime receive a positive impact rating, indicated by a "+".					

3.4 Sustainability and Replication

189. This discussion on sustainability focuses on financial, socio-political, institutional and environmental factors conditioning the sustainability of project outcomes. It also assesses efforts and achievements in terms of catalytic role, replication and up-scaling of project lessons and good practices.

3.4.1 Socio-political sustainability

190. The implementation of the EbA Mountain project created partnerships between BMUB, UN Environment, UNDP, IUCN, as well as national and sub-national institutions in Nepal, Peru and Uganda in regards to EbA. Within countries, synergies built between national ministries (MoFSC in Nepal, MINAM in Peru and MWE in Uganda) and local institutions (districts, NGOs/CBOs and communities) for EbA enabled project ownership and political support. The partnerships and networks built are likely to continue beyond the project's life span. These partnerships helped to make the EbA interventions government owned (at national and sub-national) and are therefore likely to become part of the national and local development policy and planning priorities.

191. Generally, the project generated high political support, buy-in and commitment in the three project countries at the national and sub-national levels. Commitment to up-scale the project

achievements in the medium to long-term are visible with incorporation of EbA in national and sectoral policies in Uganda and allocating financial resources in budgets in Nepal and Peru.

192. The project deployed a highly participatory approach in design and implementation. Stakeholders actively participated in all activities including VIAs, selection of pilot sites, prioritisation of EbA options, as well as in piloting of on-the-ground EbA interventions. The participatory approach deployed by the project provides a framework for continued resource mobilization and implementation of EbA activities in countries. The involvement and formation of community groups enhances the socio-economic dimensions of the project results because the built networks will continue beyond the expiry of the project. At the local level, sustainability has been found likely due to the high demand for the implemented EbA options in communities.

193. The project achieved its objective of making a case for EbA in policy and planning. The national, regional and local policy makers and technical staff who were involved in capacity enhancement activities and piloting EbA options have increased confidence in EbA. Countries have incorporated EbA in their INDC, which are now international commitments. Thus, a policy framework at national level to sustain the project's achievements and lessons learned beyond the project expiry period is in existence.

The rating for the socio-political sustainability element is "Likely".

3.4.2 Sustainability of Financial Resources

194. In all the three countries, respondents expressed concern about the lack of adequate financial resources for sustaining project outcomes. Financial sustainability will largely depend on funding from national budgets, international climate financing streams and initiatives of other external donors and regional institutions, as the project design did not propose specific strategies for self-financing in the post-project period. It is thus important that a follow-up phase at country level within countries be designed and implemented as soon as possible before the momentum built by the project is lost.

195. When providing seed funding for piloting EbA Mountain Project, the German Government hoped that other donors would follow suit and commit funds to the EbA programme, but this did not happen. However, opportunities for financing EbA exist within the project countries. EbA was incorporated in the countries' INDCs/NDCs, and national and sectoral policies, which provides a window for funding through international climate change financing streams (like the GCF, AF etc.) and national budgets that could be used to scale-up and replicate EbA. Financial sustainability could be built from the harvested political will, support of government and inclusiveness of all major stakeholders, especially the districts and community groups who have expressed willingness to commit some financial resource to implement EbA options.

196. Globally BMUB has invested over EUR 100 million in EbA. Within GEF, EbA is one of the priorities in its adaptation portfolio and EbA funding has increased over the years from less than USD 10 million in 2010 to over USD 50 million[57]. Within countries, financial sustainability could be enhanced given that governments (of Nepal and Peru) have started to allocate some financial resources in their budgets to scale up and replicate EbA implementation. The GoN (MoFSC and DoF), have allocated budget lines to support EbA activities in the financial year 2016/2017 (these are additional funds to usual program budget allocation). However, while the budget allocations are

[57] UN Environment Programme of Work for the period 2016 - 2017.

important in highlighting the GoN's commitment to scaling up EbA, they will not be sufficient to fully sustain the project achievements.

197. In Peru, a financial line has been created to fund EbA actions in NYCLR. Above all the synergy created on EbA in the Regional Climate Change strategy and the NYCLR Management Plan creates an opportunity for allocation of resources to EbA in Nepal's national budget. In Uganda, the integration of EbA in NDPII and NCCP provides an avenue for financing EbA through national resources.

198. Also in Peru, the Mountain EbA project collaborated with the Ministry of Economy and Finance (MEF) and the Ministry of the Environment and Natural Resources (MINAM) on development of the *Policy Guidelines for Public Investment in Biodiversity and Ecosystem Services 2015-2021,* approved by the Minister of Finance in August 2015. EbA is identified as a policy guideline for the National System for Public Investment (Sistema Nacional de Inversion Publica SNIP), opening a path for investing public finance in EbA measures through national government agencies, as well as regional and local governments. However, this evaluation was unable to confirm whether these Policy Guidelines are already in use and or have offered public finance for EbA.

199. With countries, there are several on-going and planned EbA related projects and programmes that provide good prospects for financial sustainability. In Nepal, a follow-up four-year project entitled "EbA approach to adaptation: strengthening evidence and informing policy" is being implemented by IUCN, IIED, UN Environment - WCMC from September 2015 – August 2019. The project is expected to finalize an effective EbA methodology and capacity building tools. A three-year BMUB supported project entitled 'Scaling-up mountain EbA: building evidence, assessing readiness and informing policy" will be implemented by TMI and IUCN from March 2017 to February 2020 to consolidate EbA measures in the EbA Mountain project sites and countries (Nepal, Peru and Uganda), and replicate EbA in other mountain regions in the countries and neighbouring countries (Bhutan in South Asia, Colombia in South America, and Kenya in East Africa). Another landscape project – the Chitwan-Annapurna Landscape (CHAL) provides potential for sustaining the EbA achievements in Nepal because EbA has been integrated in its new strategy. In Uganda, a GEF supported project on Sustainable Land Management (SLM) is taking on EbA learning in implementation.

200. In Uganda, the PES is a viable avenue to sustain the EbA interventions put in place by the project. ECOTRUST will likely continue scaling up the PES mechanism (maintaining the carbon bank) started by the project even after the end of the project. At community level, there is a potential for cost recovery for engaging in EbA implementation through no-regret adaptation activities that also income generated incomes in the short-term. However, the benefits of implementing EbA options are mainly long-term. Thus, communities in the pilot regions will take a much longer time to realise full benefits of implementing EbA options. The challenge now is to maintain the pilots until the full benefits are realised, which requires follow up activities.

201. Within the framework of the EbA Mountain Project partnership, there is no planned follow up phase/programme at the global level. The project partners agreed upon this position in the last Global Steering Committee meeting. However, at country level very strong partnerships were built and partners are ready to implement follow-up projects and programmes. At the global level, the greatest opportunity for the future of EbA lies in the FEBA network.

The rating for the financial sustainability element is "Moderately Likely"

3.4.3 Sustainability of Institutional Frameworks

202. The project was implemented within existing institutional structures and mandates. In Nepal, the implementation was through MoFSC, DoF, WRFD, PPF Council, District Council Chapters and VDCs enhances institutional capacity. In Peru, the MINAM, the Climate Change Unit, SERNANP and the Regional Governments were involved (Directorates in charge of Natural Resources and Climate Change). In Uganda, local institutions were involved in project implementation – MWE, DEA, and District Local Governments.

203. During the implementation of the project, Adaptation Learning Centres were put in place in Uganda (Bulambuli and Sironko Districts) and in Nepal (Panchase region) that strengthen the climate change institutional set up of the regions. The Adaptation Learning Centres will continue to promote climate change learning and knowledge disseminations for a long time after the expiry of the project.

204. A significant development, which will contribute towards consolidating EbA learning, is initiation of Global Mountain Initiative (GMI). The formation of the GMI, by IUCN, the TMI (a project partner in Peru) and UN Environment, is based on lessons learned and experiences emerging out of the Mountain EbA Project.

205. Globally, the success of the EbA Mountain project has contributed to increased global debate on EbA thereby influencing global EbA policy. The global uptake of EbA is showcased by, for example, EbA now being part of the UN Environment and GEF Adaptation Portfolios, but acknowledging that also other initiatives have been promoting EbA. In addition, the success of the project contributed to adoption of UNEA resolution 1/8 on EbA that was supported by the three project countries. The resolution encourages countries to include and improve EbA in their national policies. After the adoption of UNEA1, a survey of member states was conducted to which 67 countries responded, of which 47 countries indicated they were undertaking EbA at the national level. All these contribute to the sustainability of EbA at the global level.

206. The UNEA2 Report emphasizes that 'EbA will remain a key component of the next UNEP MTS and PoW'. The report foresees the continuance of UN Environment to (i) disseminate EbA adaptation as a key component within overall adaptation strategies, and (ii) support countries in their efforts to integrate EbA adaptation into their adaption policies and plans in order to foster climate-resilient development.

207. The formation of FEBA, a global EbA forum, enables continued sharing of EbA lessons and best practices globally. Within UNFCCC, EbA is now recognized and COPs have become becoming avenues of sharing EbA beyond the implementing countries. The UNFCCC COP21 EbA Day side-event significantly popularized EbA as an effective means for enhancing human climate resilience.

The rating for the institutional sustainability element is "Highly Likely"

3.4.4 Environmental sustainability

208. By restoring degraded ecosystems, land and watersheds/catchments, ecosystem resilience will be increased which will enhance the delivery of ecosystem services to the communities. In Peru, a large population benefits from the NYCLR water resources. However, the threats of increased population growth (except in the NYCLR where there is a tendency to a population reduction in certain communities) and poverty could increase pressure on natural resources and ecosystems that could potentially undermine ecological sustainability. Poverty reduction, through livelihood diversification, is essential for reducing communities' dependence on ecosystems and natural

resources for their livelihoods. In Peru, improved management practices could improve the options for restoration and sustainable use or resources. However, the EbA concept necessitates that biodiversity conservation considerations are included since losing native species could diminish ecosystems' adaptation possibilities to changing climate.

209. The project sustainability could also be affected by other natural emergencies. For example, in Nepal, earthquake that occurred in April 2015 shifted priorities of the GoN from environment management issues, and especially EbA to address the effects of the disaster. In the same vein, political changes/strife could affect the sustainability of the projects results in the medium to long-term. In Uganda, environmental sustainability could be negatively affected by demographics in Mt. Elgon region. The region has high population densities and shortage of land (land per household is between 1-2 acres in some cases). The communities in the Mt. Elgon region have been encroaching on Mt. Elgon National Park to expand agricultural land, creating serious human-environment conflicts.

210. The EbA project focused on mountain ecosystems and only specific regions. There are many other vulnerable ecosystems in the countries (forests, rangelands, wetlands, lake and river basins and urban ecosystems). Ensuring environmental sustainability requires implementation of EbA in other mountain and hilly ecosystems and other degraded and vulnerable ecosystems.

The rating for the environmental sustainability element is "Likely"

The overall evaluation rating for sustainability is "Moderately Likely"

3.4.5 Catalytic Role and Replication

211. The partnerships built by the project between UN Environment, UNDP, IUCN, the Government Ministries in Nepal, Peru and Uganda as well with sub-national/local governments and the communities and farmers groups in the pilot sites have put in place a critical mass that has elevated EbA to higher levels and could trigger implementation of EbA in other areas outside the project pilot sites and countries.

Incentives

212. With countries, community/farmer groups were formed or strengthened and used to mobilise communities to participate in EbA activities. Livelihood improvement/diversification and other 'no-regret' adaptation provided an incentive to communities to engage in project activities in the three countries. Additionally, the communities and individual farmers understand they could have a sustainable income from livelihood improvement and sustainable projects supported by the project. These played a crucial role locally in strengthening the adoption of EbA options and supporting ecosystem restoration, land rehabilitation, soil and water conservation and rangeland management in pilot sites and could be used to replicate and up-scale project results.

213. In Uganda, community conservation funds and PES mechanisms were developed in the pilot sites. The revolving fund and PES facility helped farmers to access financial capital to improve their livelihoods. Additionally, the communities and individual farmers are able to earn incomes from livelihood improvement projects started by the project. All these played a crucial role locally in strengthening the adoption of EbA options and supporting ecosystem restoration and soil and water conservation in pilot sites and could be used to replicate and up-scale project results.

214. The use of radio-programmes, more especially the participatory farm radio campaign in Uganda provided an opportunity for creating awareness and enhancing participation to community

groups and farmers that were outside the pilot sites. The radio programmes also fill the gap created by lack of sufficient extension staff in the region. There are also some people within the communities who are interested in the programmes but never get the time to participate in the community meetings and trainings. The participatory radio program is an effective extension method - it has a multiplier effect since listeners pass on the information to their fellow farmers. Because of the radio program, the numbers of field visits and trainings have reduced which makes the radio program more cost effective.

Institutional changes

215. In all the three countries, the government officials and communities trained by the project are likely to remain in place to implement and scale up EbA activities. The setting up of Adaptation Learning and Demonstration Centres in Panchase and Mt. Elgon regions, backed by the development of EbA tools, principles and application guidelines not only enhances the ability to implement EbA in countries, but will translate into effectiveness of Implemented EbA options. The EbA tools and methodologies developed are instrumental in the increased adaptive capacity. The Adaptation Action Plans developed at ecosystem and local level as well the various committees formed through the project are not only instrumental in ensuring continuity of EbA in countries and its incorporation in development planning and environment management, but will also ensure preparedness to climate risks and disasters.

216. In addition, key agencies and institutions in countries (involved in environment, climate change, agriculture, forests, water, tourism, health, disaster management, transport, finance, etc.) now recognize the need for application of EbA for increased climate change resilience. The involvement of key institutions at regional, districts and community levels in the project areas coupled by integration of EbA in action plans has institutionalized EbA at the local level. These institutions and stakeholders became committed in the implementation of project interventions and provided necessary support. The institutions in all countries have expressed commitment to make EbA top priority in their plans and are committed to scaling up and replicating lesson learned and best practices.

Policy changes

217. Overall, the project has raised EbA awareness among policy and decision makers at national, regional and local levels in the three countries. The increased EbA awareness in the three countries catalyzed the incorporated EbA in their INDCs/NDCs[58] [59] [60], which is a policy commitment at international level. The three countries also supported the adoption of UNEA resolution 1/8 on EbA.

218. In Nepal, the increased awareness was catalytic to the integration of EbA in the Protection Forest Directive, the five year PPF Management Plan, the SNNP Management plan and integration of EbA in environment curriculum in universities. These achievements are catalytic to driving EbA scale-up and replication. A national multi-sectoral technical committee was set up tasked to integrate EbA in national development policy and integration of EbA in policy and planning.

[58] GoN, 2016. Intended Nationally Determined Contributions (INDC). Submitted to UNFCCC in February 2016. Ministry of Population and Environment.

[59] Republic of Uganda, 2015. Intended Nationally Determined Contributions (INDC). Submitted to UNFCCC in October 2015. Ministry of Water and Environment.

[60] Republic of Peru, 2015. Intended Nationally Determined Contributions (INDC). Submitted to UNFCCC in September 2015.

219. In Peru, the integration of EbA in Regional Climate Change strategies of Junín and Lima, and the NYCLR Management Plan and well put in place public investment framework that support EbA is an indication of an enabling policy environment for EbA in the country. Furthermore, the Regional Biodiversity Strategy of Junín and Lima were officially approved through all the legal channels in a strong participative manner including local and regional authorities, thus it has a high possibility to stay in place.

220. In Uganda, the project catalyzed the integration of EbA in national development planning processes (NCCP, NDP II and INDC). Uganda is currently developing the guidelines for integration of EbA in policies and plans, and is developing a Green Growth Development Strategy in which EbA is one of priorities. The integration of EbA in the DDPs, as well as the development of EbA Action Plans at district and parish level are catalytic to increased EbA financing which will result in replication and up scaling of EbA activities in Uganda. The partnerships built, adaptation learning centres and knowledge products put in place as well as the PES mechanisms and EbA committees put in place by the project can catalyze policy response at the local level that can be replicated in other parts of the country.

221. Globally, the EbA Mountain programme has had exceptionally broad reach in making the case for policy change for EbA, ranging from working with communities to engaging with other countries and United Nations Secretary-General (Ban Ki-moon). The programme has worked to bridge local practice with global policy. For example, site and country level experiences on planning and implementing EbA have been shared through global policy platforms under the UNFCCC and Convention on Biological Diversity (CBD).

222. The CBD recognized the importance of EbA at CBD COP12 in 2014. Consequently, the CBD Secretariat set up a Technical Reference Group on EbA in response to COP12 decision on EbA (paragraph 7 of decision XII/12). An expert workshop on EbA organized by the CBD Secretariat in Johannesburg, South Africa, in September 2015, consolidated recommendations on incorporating EbA into biodiversity conservation, these will be presented to the next CBD SBSTA. IUCN has been contributing towards this process and helped in designing the workshop and mapping methodology for global EbA synthesis report.

223. EbA principles and practices have been recognized as key to transboundary resource management. According to the Uganda's MWE (DEA), the EbA Mountain Project results are feeding into transboundary resource management processes of Mt. Elgon that is shared between Uganda and Kenya through the Lake Victoria Basin Commission (LVBC) of East Africa Community (EAC). Indeed, the case of Uganda applying its in-country experience from the EbA Mountain Project to sponsor the UNEA resolution1/8 is a specific example of how project results can achieve significant impact beyond implementing countries. According to UN Environment, the Government of Brazil has communicated with UN Environment indicating that the EbA Mountain Project was instrumental in informing the inclusion of EbA in the Brazil's National Adaptation Plan (NAP)[61]. The formation of the FEBA network, with IUCN as a Secretariat is also an example of the projects impact beyond the project sites and countries.

Catalytic financing

224. The project received funding from BMUB through UN Environment to implement its activities. There was limited or no co-financing in countries for the project. In Nepal and Peru, the Governments have allocated some resources for scaling up of EbA activities in the pilot regions, but

[61] UNEP, 2015. EbA in mountain ecosystems. Annual project report to the BMUB, 2015.

these resources are inadequate and countries should be supported by additional funds. Within UN Environment and GEF, funding for EbA has risen from less than USD 10 million in 2010 to over USD 50 million by 2016. Whereas there are several EbA actors and projects that could have contributed increased EbA funding in the two institutions, our discussions with staff from the UN Environment, indicate that the successful implementation of EbA Mountain Project increased the acceptability of EbA. This helped to build a case for increased EbA funding in GEF and the UN Environment.

Champions to catalyze change

The project has created several EbA champions at global level. For example, there are now EbA champions in the project partners (UN Environment, UNDP, IUCN and BMUB). In addition, the FEBA network is championing EbA in UFCCC and CBD. At national level champions have been created in the participating ministries, departments and agencies. At sub-national/local level, the technical staff and policy makers in the regions and districts where the project was implemented as well as members of communities and farmer groups involved in piloting EbA options are now EbA champions.

By creating the political buy-in and support for EbA, the project was successful in putting in place the necessary drivers that are catalytic to the adoption and scaling up and drive it to impact, while at the same time delivering multiple co-benefits, helping avoid mal-adaptation and contributing to 'no regrets' approach to address climate change. However, there is also a risk that some champions (including community members and technical staff) could leave for other opportunities and this could create a gap that could slow progress on EbA.

Replication

225. Some communities have showed great enthusiasm to replicate the lessons from the piloted EbA practices. Nonetheless, additional support is required in countries and project sites for replication and up-scaling, which could be possible with a follow up phase or project. MoFSC, MINAM and MWE have indicated the need for scaling up sensitization of communities on climate change adaptation, EbA and ecosystem management outside the pilot regions. In addition, the increased cooperation between national and local governments, communities, and civil society and the private sector is another indicator of the likelihood of replicating EbA.

226. The project undertook VIA and CBA studies and prepared adaptation action plans which can be drivers for expanding the EbA practices to other districts, such as in Uganda to Mount Elgon and even beyond to the Rwenzori mountain ecosystem. However, in Peru, the UNDP pilot in Tanta is being replicated in the nearby community of Tomas, where animal husbandry management and sustainable community grassland management measures have been initiated. It was also found that EbA interventions involving ecosystem restoration, watershed management and land rehabilitation are very expensive and laborious. Many farming communities are risk averse - preferring strategies that are short term even when they may deliver lower returns. This further limits their ability to apply EbA measures that are expensive, laborious and take a long time before benefits are realized. Therefore, replication of EbA needs to incorporate incentives and alternative livelihoods interventions as the long-term benefit EbA options are going on.

227. In Uganda, the project results fed into transboundary natural resource management. Mt. Elgon where the project was implemented is shared between Uganda and Kenya) and provides an example of the high likelihood of replicating EbA in other mountainous areas that are engaged in (or need) transboundary natural resource management. Through the UNEA1 resolution, project countries (Uganda) used practical EbA experience to make a case for global level EbA policy.

228. The achievements of the EbA pilot project do not necessarily mean that the EbA lessons and best practices can easily be transferred elsewhere, as there are many challenges in adapting to climate change. Replication must pay attention to socio-economic dynamics or challenges and other distinguishing features - variability of environmental conditions, fragility of ecosystems, population pressure, high dependence on ecosystems, weak infrastructure and economies, resource constraints, high poverty and deteriorating livelihoods.

229. During project implementation, some experiences at site level were so context-specific that the similarity of the mountain ecosystems was not relevant. For example, the issue of small land holdings in Mt. Elgon in Uganda limited the potential for EbA measures, where shortage of land led to reluctance in dedicating it to measures such as tree planting or riverbank protection. This was not an issue in Panchase in Nepal or NYCLR in Peru, where there is communal land ownership and lower population density. Moreover, Nepal and Peru adopted EbA measures that are not labour-intensive, given the high rate of outmigration, while Mount Elgon faces overpopulation and related degradation of resources and had to adopt labour intensive, and intensive landuse EbA options.

230. The high prospects for replication in countries is also based on the EbA awareness and knowledge created. Generally, the project succeeded in enhancing learning within and across the various project mountain ecosystem sites in Nepal, Peru and Uganda that could be replicated in other areas and countries. However, language barriers might be a factor potentially limiting replication. To facilitate replication, the project's knowledge products should be made easily available, including to local communities in their own languages, and capacity building extended to other stakeholders. It was realised from the project that documentary films with innovative and concrete activities are most effective in the transmission of knowledge and good practice to stakeholders of all categories.

231. The initiation of the Global Mountain Institute (GMI) by project partners will contribute towards consolidating, scaling up and overall sustainability of the Mt EbA. The focus of GMI is to scale up work in the EbA mountain project sites and to take the lessons to new sites and to the neighbouring countries. One such proposal under the umbrella of GMI is being supported by BMUB-IKI with TMI leading the project in the lead and IUCN as a project partner. New proposals under GEF and GCF are being developed together with UN Environment.

232. There are some follow up projects that are replicating and maintain EbA presence in the regions. IUCN is implementing a project, together with IIED and UN Environment -WCMC, that is developing a methodology to appraise the effectiveness of EbA. The project, also funded by BMUB-IKI, is pilot-testing the methodology in 13 countries, which include Mt EbA sites in Nepal, Peru and Uganda. IUCN is also implementing a project with IIED that is collecting evidence base for EbA in 11 countries, including the 3 countries that implemented the EbA project. Mountain Institute Programme – looking at three countries with neighbouring countries – for Nepal (Bhutan), Uganda (Kenya).

The project's catalytic role and replication is rated as "Satisfactory"

3.5 Efficiency

3.5.1 Cost effectiveness

233. Whereas no cost-effective measures are mentioned in the ProDocs, this evaluation concludes that overall the project was cost effective. Several measures to promote cost-effectiveness were adopted during implementation:

i. Partnerships: Harnessing the comparative advantage of the partners and establishment of strategic partnerships with key organizations who already had a strong track record of experience in climate change adaptation in the country;
ii. Site selection: Pilot sites were selected in areas where potential partners and the Governments were already conducting relevant projects and programmes;
iii. Building on the past and ongoing programmes of partners and utilization of existing institutional structures government ministries, regional and local governments, information, equipment and data sets.

234. These cost-efficient measures contributed to the successful completion of the project within the budget. However, the selection of pilots in areas where governments and partners were already working, could also mean that the project 'went for low hanging fruits' instead of trying to promote EbA in highly vulnerable locations where this would have required starting from the beginning, but would have made a bigger difference at the end.

235. The project received BMUB funding of USD 15,046,898 and was conducted over a period from June 2010 to June 2016 (six years). There was initial delay in disbursing funds by BMUB (funds were received in 2011) when the project started in June 2010 which a meant a slow start to implementation, implementation of project activities intensified thereafter. Both IUCN and UNDP Nepal Country Offices reported timeliness in funds disbursement from UN Environment, which helped project implementation to remain on track. As at end of December 2015, overall project expenditure was USD 12,189,504 (81%).[62] Whereas project expenditure continued until the completion of the project - 30 June 2016, we were not able to receive the final expenditure details.

236. The management costs, mainly composed of project staff, travel and administrative support, remained low as compared to the total project budget. Within countries, the ministry staff, regional and local government staff, who worked on the project provided in kind contribution (labour) to the project, which increased cost-savings.

237. In addition, by working directly with UN Agencies (UN Environment and UNDP) and an international NGO (IUCN) that have global and country presence, as well as national institutions in countries (MoFSC, MINAM and MWE), the project generated buy in, and took advantage of pre-existing systems including the human resource, finance and procurement systems, which greatly reduced project overhead costs.

3.5.2 Timeliness

238. The project was approved by UN Environment in June 2010 and commenced immediately after approval. The planned project duration was 54 months, expected to be completed by December 2014. The project underwent a major revision in 2015 in which a project component on leaning and knowledge management was added, an additional funding of EUR 1.5 million was provided, and the project period extended to 30 June 2016 to enable completion of project outputs. By the end of June 2016, over 95% of project activities had been completed with a few activities being finalized at country level and in UN Environment, more especially on reporting.

239. As mentioned in Section 3.2.1 (achievement of outputs under component 1), at country level, the project experienced some delays of up to 1.5 years in commencing project implementation caused by delay in UN Environment in completing outputs under component one (EbA tools and

[62] UNEP, 2015. EbA in Mountain ecosystem. Annual progress report for the EbA mountain project, 2015

methodologies). Since a sequential implementation of project activities had been anticipated, the entire project was delayed.

240. Because of the late start, the project duration was extended to allow project implementation and completion of crucial activities that were still ongoing. It is the view of this evaluation that the project managed to overcome early delays in the launch of implementation and the timeliness in achievement of results was largely a result of the Country PMUs' effective and efficient management style.

The overall rating for efficiency is "Moderately Satisfactory"

3.6 Factors affecting performance

3.6.1 Preparation and readiness

241. At global level ProDocs (ICI proposal and revised UN Environment ProDoc) and country specific ProDocs were prepared. However, the global ProDoc was not detailed and had no log-frame. Ideally, partners should have developed the ICI proposal into a detailed ProDoc at the beginning of the project, but this was not done. In a way, this was a missed opportunity because a detailed ProDoc would have entailed a detailed log-frame spelt out the roles and responsibilities of each partner, and would have enhanced the process of both monitoring progress and undertaking evaluations.

242. The legal basis for implementing the project was through agreements signed between UN Environment and the other two implementing partners (UNDP and IUCN). UN Environment also contracted WCMC to execute components 1 and 2. UN Environment (Ecosystems Division) involved regional offices (Africa, Asia & Pacific and Latin America & Caribbean) in the execution of the project. The Country Project Documents were prepared and approved by UNDP Country Offices and respective governments.

243. The project's purpose (as stated in the ProDocs) – to strengthen the capacity of countries to build ecosystem resilience for promoting EbA options in mountain ecosystems – was realistic within the timeframe and available budget. It sought to achieve this through scientific assessments, capacity building, piloting and demonstration to build a case for EbA adoption. This strategy was realistic and appropriate to achieve the stated outputs and outcomes. However, achieving ecosystem and community resilience within the project's timeframe was not realistic.

244. Project stakeholders at the global, national and sub-national levels were adequately identified, especially the most vulnerable mountain ecosystems and communities in the project regions. The implementation and institutional arrangements were clearly described in the ProDocs.

Overall, the project preparation and readiness was rated as "Moderately Satisfactory"

3.6.2 Project implementation and management

245. The project was approved in June 2010 and project implementation started immediately. Within countries, however, there were delays to start project implementation. The project commenced in June 2011, August 2012 and April 2012 in Peru, Nepal and Uganda respectively. What is notable is that at the global level, the project had no inception report. At Country level inception workshops were held and inception reports are available.

246. As mentioned in Section 2.5 (implementation arrangements) the main project implementation partners were UN Environment, UNDP and IUCN. UN Environment oversaw overall project coordination and reporting to BMUB. Within countries, ministries i.e. MoFSC, MINAM and MWE were the lead implementation partners in Nepal, Peru and Uganda respectively. Each lead implementation agency provided a National Project Director. A PMU was put in place in each country, headed by a National Programme Coordinator, to manage the project implementation. At the global level, UNDP and IUCN reported to UN Environment, and in turn UN Environment reported to the donor. Within countries, UNDP and IUCN Country Offices reported to their HQs. At the same time country level reporting was done through the Country PMUs (by preparing PIRs), which were overseen by UNDP Country Offices.

247. A global PSC was put in place composed of UN Environment, UNDP, IUCN and BMUB to oversee project implementation. Within countries, multi-sectoral national PSC were put in place to provide guidance and supervision on project implementation. UN Environment assigned a Project Coordinator to oversee project implementation. Within countries, each of the project implementing partners (UNDP and IUCN) assigned a project focal person to handle all matters relating to the project. The Project Managers understood the project well and worked excellently with the PMUs. Annual work plans were reviewed and adjusted as needed in consultation with partners to ensure that all activities were completed and outputs achieved. Generally, activities were well-managed, with responsibility and transparency at all levels. In the project regions, project committees were established to monitor project implementation.

248. It is worth noting that at the beginning of the project, tensions were high between project partners (especially at global level) arising from differences in approach. UN Environment preferred to start with the science (developing tools and methodologies) and then implementing at a later stage. On the other hand, IUCN wanted to start implementation immediately based on its rapid participatory assessments. The country governments also wanted implementation quickly and were of the view that conducting VIAs would delay implementation. UNDP preferred a participatory planning approach at country level and began by preparing country specific ProDocs. These tensions, in a way delayed the start of the project in countries except at IUCN project sites where actions were taken together with local partners after scoping and rapid assessment.

249. As mentioned in sections 3.2.1 and 3.2.2, before the project could start in countries, IUCN conducted rapid vulnerability assessments through which no-regret adaptation actions were identified and implemented. In other words, IUCN started project implementation before the detailed VIAs were conducted by UN Environment. It is important to note that later, IUCN's rapid assessment results were validated by the detailed VIA. It is worth noting that the partners could overcome these differences and built a very strong partnership that led to successful completion of project activities and achievement of outcomes.

250. As mentioned in Section 2.2.2, project activities were organized under five components[63] and the appropriate partner(s) were assigned to lead each component for delivery of specific outputs. These five components were supposed to be implemented in a sequential manner, with outputs from one feeding into the other. However, UN Environment /WCMC delayed in delivering outputs under first component which in a way delayed implementation of other components. However, with the revision of the project extending its period to June 2016, most project activities were completed.

[63] Country PIRs report on 4 components. Component 5 was added in 2015 when the project was revised.

251. In order to maximize learning, project partners (especially UNDP and IUCN) should have jointly implemented activities in the same pilot sites. However, this was not the case and partners worked separately in different pilot sites. While this was intended to minimize conflicts and tensions between partners, this evaluation finds that it was a missed opportunity of building synergies and benefiting from the comparative advantages of the different partners.

252. While the existence of various implementing partners at country level was beneficial to achieve synergies, there were some management complications. UNDP and IUCN directly received funding from UN Environment through their HQ implying that financial reporting was not harmonized in the two institutions, and this in a way constrained financial flexibility. However, this was later harmonized and an integrated reporting by PIR and M&E mechanism was put in place through the PMUs.

253. Even at country level, administrative challenges also affected technical aspects of the project. While PMUs and Project Coordinators were put in place at country level to coordinate project implementation, some partners took time to recognize this management arrangement. The PMUs were put in place by UNDP and other project partners looked at them as UNDP structures. In addition, Country Project Coordinators were hired by UNDP and were also looked at as UNDP staff with no mandate to coordinate the other partners' project activities IUCN. Again, this was later harmonized and coordination went on well. By the end of the project the PMUs and Project Coordinators were highly regarded as having done a wonderful job in managing the project.

254. Procurement in terms of equipment and consultancies was managed by the Procurement Section of UNDP. The administrative process at UNDP sometimes resulted in delayed procurement of essential services but this did not significantly affect the achievement of project outputs and outcomes.

255. Despite the initial delays and management challenges encountered, the evaluation team concludes that project management was effective and efficient. Where management challenges were encountered (as mentioned above) adaptive management and flexibility were applied to bring back the project implementation to course.

The project's performance in implementation and management is rated as "Satisfactory".

3.6.3 Stakeholder participation, cooperation and partnerships

256. Participation of stakeholders at international, national, sub-national and community levels, and the partners are commended for this achievement. The involvement of respective national and local governments ensured that the project goals and objectives were consistent with their needs and facilitated ownership and buy-in.

257. The project design and implementation recognized the benefit of adopting a participatory approach involving key stakeholders and communities in project activities. Participation was particularly ensured through signing agreements and MOUs with key partners, and maintaining good communication channels between country project teams with partners, stakeholders and beneficiaries.

258. The involvement of local governments and communities in the VIAs, selection of pilot sites and prioritization of no regret measures and EbA options helped to ensure that their needs were taken into consideration, which again ensured community ownership and buy-in. Significant effort went into raising EbA awareness and knowledge, capacity enhancement and policy influence. A range of training and communication materials were prepared that were used to raise awareness of

government officials at national and district levels, as well as farmers at community level. Demonstrations and exposure visits were also organized as part of awareness raising and capacity enhancement. Gender issues were taken into consideration in project implementation. The capacity enhancement training and piloting EbA options were gender sensitive. NGOs and CBOs were involved in project implementation.

259. The combination of partners was effective and efficient, with each partner making important contributions towards different project components and outputs. Based on interviews and examination of the progress reports and project accomplishments, it was clear that there was reasonably good collaboration among the partners and especially engagement with stakeholders throughout the duration of the project. Though the global project partnership has not planned followed up activities or phase, at country level partners are eager to continue working together on EbA.

Stakeholder participation, cooperation and partnerships is rated as "High Satisfactory".

3.6.4 Communication and public awareness

260. As the lead project implementation partner, UN Environment was responsible for leading communication with the donor, and promoting communication among the partners. Initial project design did not include a stand-alone Knowledge Management component and component was added when the project was revised in 2015. To that end, initially the project did not have the position of a Knowledge/Communication Manager and did not put in place a formal communication strategy. Thus, the project lacked communication structures in the early stages which made communication among partners rather difficult. In a real sense, there was a communication disconnect/gap between the global and country project teams.

261. Lack of a communication mechanism in the early stages of the project meant that Country Project Coordinators were not effectively communicating which hindered sharing lessons learned between countries. While UN Environment developed a website (https://ebaflagship.unep.org) for sharing knowledge, partners (UNDP and IUCN) reported that the website did not enhance the much-anticipated learning because it only became fully functional towards the end of the end of the project period. Partners (UNDP and IUCN) indicated that the website lacked flexibility and so the information posted 'drowned' on the website. It was indicated that UN Environment put a lot of effort and resources on the GAN, and not the project website. Consequently, the other partners resorted to using websites to share knowledge and lesson learned.

262. It is worth noting, however, that communication improved as the project progressed, and more especially from 2014 when UNDP hired a Global Knowledge Manager. A communication platform was then developed, on ONE DRIVE that acted as a library. This platform facilitated the sharing of information and lessons learned between the country project teams. Thereafter, the project team did a commendable job in engaging with stakeholders, through effective communication and public engagements.

263. The success in communication was further strengthened after the revision of the project in 2015 when Component 5 on Knowledge Management was added. Documentation of good practices and knowledge products went on well for the rest of the project period, and effective communication and raising public awareness remained a priority to the project. Communication across countries was enhanced by holding annual Global Learning and Technical Workshops. Four workshops were held, the first in Berlin, Germany in 2012, the second in Uganda 2013, the third in Nepal 2014 and the fourth in Peru 2015.

264. A range of communication materials were prepared (documentaries, tools, study reports, policy briefs and training materials). Public awareness workshops were convened and demonstrations held. Some of these materials are uploaded on the websites (https://ebaflagship.unep.org). UN Environment's GAN through its regional networks (REGATTA, APAN WARN-CC and AAKNet) and the UNDP ALM) served as global hubs for linking countries and centres of excellence working on EbA to document and disseminate successful experiences.

265. Countries had strong communication teams, but the Peru had the strongest country team with a Communication Officer and a Scientific Advisor, which other countries did not have. Within countries, the involvement of the media, regular meetings of partners and key stakeholders, training of national and district officials and communities ensured that information about project results and progress were communicated and this kept the partners highly engaged. Regular and clear communications between the project team (at the PMUs), project partners, and beneficiaries ensured that progress was on track. Clear communication also helped to manage 'unrealistic' expectations of the project stakeholders.

266. The formation the FEBA network created an avenue for sharing project results with the global EbA community. UNFCCC COPs also provided avenues for communicating EbA learning, for example the COP21 in Paris at which EbA Day side-events were held on December 5 and 8. Country project teams participated in EbA Global Learning and Technical Workshops held in Uganda (2013) Nepal 2014 and Peru (2015), as well as CBA9 Conference in Nairobi Kenya in April 2015, and CBA10 Conference held in Dakar Bangladesh in April 2016 at which presentations of EbA knowledge products was made. EbA photo essays were used as promotional materials.

The project's performance in ensuring communication and public awareness is rated as "Highly Satisfactory"

3.6.5 Country ownership and driven-ness

267. The project's focus on Nepal, Peru and Uganda is made explicit in the project objective and is clearly stated in the ProDocs, which elaborates on the project's consistency with national development priorities and plans. Country drivenness was evident in the alignment of the project's objective with national needs and priorities of the countries expressed in the countries' NAPAs and UNDAFs, their aspiration towards achievement of the MDGs (now SDGS), and alignment to national development plans, as well as climate change and environment management policies.

268. The project was nationally implemented and the lead implementation partners in countries were government ministries. The use of existing government institutions and structures (involvement of national technical experts) in project implementation promoted country ownership. Capacity enhancement activities were based on the capacity needs of countries stakeholders, and this contributed to country ownership. In addition, the VIAs and selection of pilot sites and beneficiaries were participatory.

269. It was obvious to the evaluators that the governments of Nepal, Peru and Uganda were fully supportive of the project during its implementation and are committed to incorporating the results in national programmes. Generally, all national level stakeholders interviewed expressed interest in a follow up phase/project.

Country ownership and driven-ness is rated as "Highly Satisfactory"

3.6.7 Financial planning and management

270. As the overall project coordinator, UN Environment was responsible for overall financial management and reporting to BMUB. To this end, UN Environment received project funds from BMUB and disbursed the funds to the main implementing partners – UNDP and IUCN.

271. Financial planning and management was consistent with UN Environment's procedures. As mentioned in section 2.6 (project financing), UN Environment received project funds totaling to USD 15,046,897 from BMUB and made disbursements to implementing agencies for the execution of specific components, outputs and activities. As at 31 December 2015, the project expenditure was USD 12,189,504 (81% of the budget)[64], with UN Environment having only spent 58%, while UNDP had spent 88%, IUCN had spent 92%, and UN Environment WCMC has spent 93% of the budget (see Table 4). However, we were not able to get updated financial expenditure up 30th June 2016.

Table 4: Summary of project expenditure by partner as at 31 December 2015

Implementing partner	Budget Amount USD	Actual Expenditure as at 31 December 2015	Percentage
UN Environment	4,265,156	2,483,704	58.2
UN Environment – WCMC	600,827	557,460	92.8
IUCN	3,851,357	3,554,438	92.3
UNDP	6,329,557	5,593,902	88.4
TOTAL	**15,046,897**	**12,189,504**	**81.0**

272. At country level, project expenditure is summarized in Table 5. For all countries, project expenditure was 94% of the budget, with Uganda having the least expenditure at 86%, while Nepal's expenditure was 97% and Peru's at 98%. Overall, project expenditures were in line with the planned budget.

Table 5: Summary of project expenditure by Country as at 30 June 2016

Country	Budget Amount USD	Actual Expenditure as at 30 June 2016	Percentage
Nepal	2,874,596	2,798,344	97.3
Peru	3,580,744	3,493,125	97.6
Uganda	2,506,149	2,148,051	85.7
Total	**8,961,489**	**8,439,520**	**94.2**

273. Financial records were maintained by a Fund Management Officer (FMO) who also provided oversight on the funds administration. According to the FMO, this project was 'uneventful' in terms of the financial aspects, indicating that there were no irregularities and problems. At country level, project partners (UNDP and IUCN) received funds separately from UN Environment through their HQs, and operated separate financial management/reporting systems. Thus, another challenge emerged - lack of flexibility in decision making on financial matters. For example, there was no flexibility in reallocating resources from the project components implemented by UN Environment, UNDP or IUCN. With each project partner operating separate financial reporting systems, financial planning and management was complicated as two financial reports had to be prepared and

[64] UNEP, 2015. EbA in Mountain ecosystems. Annual progress report for the EbA for mountain ecosystems project, 2015

submitted to each of the agencies' HQ. Generally, the PMU was not engaged in IUCN financial matters.

274. Some financial management challenges were noted. In some cases, UN Environment delayed to disburse funds to implementing partners (UNDP and IUCN). This became particularly problematic after UN Environment changed its financial management system to the UMOJA. The delays were a serious inconvenience to partners because they could not timely pay suppliers and contractors. The delayed payments were costly to UNDP, which reportedly lost some consultants. Generally, the UNDP global team experienced administrative challenges in receiving funds through the UN Environment, as UNDP and UN Environment operate different financial management systems. UNDP felt the process would have run more smoothly if BMUB had directly disbursed funds to them.

275. In Nepal and Uganda, financial audits were annually conducted by the reputable independent audit firms. For Peru, specific project audits were not conducted, but the financial audits were conducted for the entire Country Offices of UNDP and IUCN.

Overall project financial planning and management was rated as "Satisfactory"

3.6.8 Supervision, guidance and technical backstopping

276. In UN Environment, the Ecosystems Division was responsible for overseeing and monitoring the project implementation, including technical backstopping. UN Environment worked closely with UNDP, IUCN, Government Ministries (lead implementing partners) in countries. A Project Coordinator was designated by UN Environment who effectively provided oversight and accountability. UN Environment engaged its Regional Offices (Africa, Asia & Pacific, Latin America and Caribbean) to execute the project in countries.

277. Project supervision was also provided by the Global Steering Committee and National PSCs. UN Environment closely monitored project progress and regularly communicated with the partners to provide guidance and ensure that any challenges were addressed. The Project Coordinator visited countries and during the visit she also visited pilot sites and attended a National PSC committee meeting.

278. The PSC provided important strategic guidance to the project management team. Over the course of the project, a good rapport and mutual trust was developed between the global PSC, national PSCs and the country project management teams. In countries, project partners greatly appreciated the role of the PMU and involvement of the UNDP Country offices who assisted with the implementation and reporting. In Nepal project supervision was also provided by the FPCC, which met regularly and visited project sites. Uganda had a Technical Committee, which supervised the project and visited project sites.

Overall project supervision and backstopping was rated as "Highly Satisfactory"

3.6.9 Monitoring and evaluation

Monitoring and Evaluation design

279. The global ProDoc (the ICI proposal) did not have a Monitoring and Evaluation (M&E) framework and had no log-frame. This implies that the project had had no indicators or baselines for monitoring progress. The revised ProDoc (by UN Environment in 2015) included a log-frame and M&E retrospectively. At country level, M&E was well designed and country ProDocs had log-frames

(results framework) with indicators for each expected outcome, except for Uganda. However, some indicators are vague and not easily quantified (not SMART), besides some were performance indicators rather than results indicators. Countries developed detailed project monitoring systems.

280. Country ProDocs include M&E plans and budgets. The ProDocs also made provision for independent mid-term and terminal evaluations. A provision was included in the ProDoc for an independent terminal evaluation to be conducted towards the end of the project. Periodic monitoring of progress was to be conducted through site visits and annual progress review reports.

The M&E design is rated as "Moderately Satisfactory"

M&E plan implementation

281. The project's M&E system was effective and facilitated timely tracking of results and progress towards objectives throughout the project implementation period. At the global level, project monitoring was conducted through Global Steering Committee meetings. At country level, the PMUs developed and operationalized M&E systems. M&E was conducted through global and national PSC meetings, field level committee meetings, procurement committee meetings, annual audits, and visits to project sites by project teams. Regular technical monitoring was carried out by UNDP Country Offices, PMU and government teams from MoFSC, MINAM and MWE, and local government teams.

282. In the three countries, joint monitoring team visits to the project sites were conducted involving, government officials, UNDP, IUCN, PMU, and local leadership. High-level visits to project sites were organized to highlight the contribution of EbA.

283. At global level, a Mid Term Evaluation (MTE) was not conducted. As part of UNDP's contribution to Learning and Knowledge Management Framework, UNDP budgeted for the MTE and designed TOR, but the MTE was not conducted. According to UN Environment, the MTE was scheduled near the end of the project. It was thus collectively agreed by partners and the donor that conducting the MTE was not the best use of resources, and that the TE would evaluate the project in totality. UNDP also noted that a constraint to conducting a MTE was the lack of log-frame, because without indicators, baselines and targets (and no detailed project document or inception report), there was no reference against which performance would be measured.

284. At country level, Mid Term Reviews (MTR) were conducted in Nepal and Uganda. The reviews made recommendations for improvement of project implementation. This evaluation confirms that the MTR recommendations were fully implemented and the project remained on track to realize high achievement of outputs and outcomes. The availability of M&E staff from UNDP Country Offices ensured effective monitoring of progress against indicators and reporting. PIR, annual progress reports, and country end of project reports were prepared and made available to the evaluators. In some instances, however, the final reports do not provide updated information. In Peru, there was not a final report, though a systematization of the project was completed up to December 2015. Nepal went a step further and conducted an impact analysis of the project's capacity building and demonstration interventions.

The M&E plan implementation is rated as "Satisfactory"

4 CONCLUSIONS, LESSONS LEARNED RECOMMENDATIONS

4.1 Conclusions

285. As discussed in sections 3.1.1 and 3.1.3, the project was highly relevant and aligned to UN Environment's mandate and comparative advantage, strategies (MTS) and PoW and expected accomplishments on climate change adaptation. The project was also relevant to Nepal, Peru and Uganda's national development, environment and climate change priorities and needs. The project's relevance was in the context (and success) of (i) developing EbA tools and methodologies and applying them at ecosystem level, (ii) increasing EbA awareness, knowledge and skills in countries, (iii) demonstrating the value and cost-effectiveness of EbA to building climate change resilience and reducing vulnerability, (iv) building a case and capacity for increased adoption/uptake, scaling-up and replication of EbA practices by national and sub-national governments and communities in mountain ecosystem to adapt to a changing climate, (vi) influencing EbA debate, policy and adoption at global level in UN Environment, UNEA, GEF, UNFCCC, CBD etc.

286. Over all, the project was very successful in strengthening the capacity of the national and sub-national governments and institutions in Nepal, Peru and Uganda, and the communities of the Panchase, NYCLR and Mt. Elgon regions. VIA studies were conducted and the results used to select pilot sites and EbA options for implementation. CBA studies were conducted and the results confirmed the viability and sustainability of EbA options piloted. Above all the necessary human capacity in countries was built at all levels and institutional mechanisms were created to support adoption of EbA. The project deployed capacity building approaches were based on 'learning by doing' and demonstrations in the pilot sites.

287. Within countries, the project worked directly with the national (mainly MoFSC, MINAM, and MWE), regional, district and community stakeholders, trained key stakeholders on EbA, piloted and demonstrated EbA options at ecosystem level, and used participatory methods to communicate and disseminate EbA lessons learned. The project raised EbA awareness and knowledge among policy and decision makers and the wider public. Due to the project interventions, EbA has been integrated into the NCCP, NDP and DDPs in Uganda; the reviewed Protective Forest Directive, PPF management plan, and the SNNP management plan in Nepal; and the NYCLR Management Plan, and Regional Climate Change Strategies in Peru. High-level national and local EbA Committee was put in place in countries to catalyze further integration of EbA in national and sectoral development policies and plans and the eventual adoption and replication of EbA in other mountain regions (?) and the overall climate change adaptation work in countries.

288. The three project countries also integrated EbA in the INDCs submitted to UNFCCC. Generally, the project contributed in influencing global EbA debate and policy especially with the formation of the FEBA network and adoption of UNEA1 resolution on EbA. The foregoing in a way influenced the recognition of EbA by UNFCCC and CBD.

289. The project promoted partnerships and dialogue for EbA at community, national and sub-national levels and globally. These partnerships have fostered collaboration in sharing of EbA information and lessons learned among stakeholders, which is critical for enhancing EbA uptake and climate change adaptation. All these are key drivers towards the intermediate state. Based on the ROtI analysis, the overall likelihood that the intended impact will be achieved is rated on a six-point scale as 'Moderately Likely'.

290. While most of the targets set by project at design were achievable in the planned budget and time frame, realizing ecosystem resilience and reducing climate change vulnerability can only be achieved in the long-term with continued effort and financing. Some follow up activities are needed

and should focus on increasing EbA awareness, knowledge and skills beyond the pilot sites and regions with deeper and direct involvement of more national and local partners.

291. The overall impact from the outcomes and intermediate states is increased ecosystem resilience and reduced vulnerability of communities in target mountain regions to climate change. Long-term impacts are likely to accrue if implementation of EbA forms part of a wider framework for the country's adaptation planning and sustainable development. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance by communities and local governments of EbA practices.

292. Generally, there is considerable enthusiasm in the project sites to drive the project's results forward and that country ownership was very strong. The partnerships forged and high stakeholder participation was considered by the respondents and evaluators alike to be great achievements. Engagement of national and local stakeholders at all levels and alignment of the project goals with national and local priorities and needs with respect to climate change adaptation was instrumental in promoting a high level of country ownership and driven-ness.

293. Project implementation in all countries was generally cost-effective. This was achieved through establishing strategic partnerships and selection of pilot and demonstration sites in areas with ongoing projects and programmes, involving communities and NGOs in implementation and utilization of existing institutions, structures and information. However, achievement of project outputs was less timely given the delays in delivering EbA tools and methodologies and VIAs, which delayed the logical and sequential implementation of the projects components. In Nepal and Uganda, the project kicked off more than a year late and this affected timely implementation and completion of some EbA activities.

294. While the project multiple implementation partners built synergies, and strengthened partnerships and an institutional framework for EbA, there were challenges in harmonizing reporting that complicated decisions making and was time consuming. Though this was eventually sorted out, UNDP and IUCN continued to operate separate financial reporting, which undermined flexibility and adaptive management in financial matters.

295. The project performed satisfactorily on M&E. The project design had a log-frame with indicators at output level. However, there were no indicators at immediate outcome level. Significant efforts and resources were committed by the partners (especially UNDP) and the PMUs to M&E. Technical backstopping was provided by the UNDP Country Office and UN Environment Project Manager. Monitoring and reporting the progress of the project and documenting lessons learned and best practices was well conducted. In Nepal and Uganda MTR were successfully conducted and the recommendations implemented. A MTR was not conducted in Peru.

4.2 Lessons Learned

General lessons learned

296. The following key lessons learned emerged in the implementation of the project (not arranged in any order of priority):

297. **Consider local contexts:** The project analysed the climate change impacts and vulnerabilities, and with this base it was able to develop an appropriate scientific approach. The tools, methodologies and options developed and applied considered local contexts of PMER, NYCLR, and Mt. Elgon region, and were participatory incorporating indigenous knowledge. This increased stakeholder participation and community ownership of the project that propelled achievement of

outputs and outcomes results (see section 3.3.1 – Achievement of outcomes). Thus, project design and implementation, particularly in climate change adaptation, not only requires a strong scientific base, but also needs to be participatory taking into account local socio-economic contexts and risks to ensure sustainability and impact.

298. **Building evidence base is crucial policy change.** The project was successful in building evidence for EbA adoption and application in countries. The results VIA and CBA studies and the successful application of EbA options in the pilot sites made a strong case for policy change in countries. As a result EbA was integrated in policy and planning processes in countries and influenced global EbA debate and policy (See sections 3.1.4 relevance to national development and environmental needs and priorities; 3.4.5 catalytic role and replication). Therefore, the design and implementation of projects that are aimed at influencing policy and adoption of piloted interventions require building strong evidence base to make a case for adoption and policy change.

299. **Building capacity through 'learning by doing' and demonstration:** A major approach to the project's capacity building was 'learning-by-doing' involving pilots and demonstrations. This translated into increased strong sense of ownership of project results and the urge to scale them up (see sections 3.1.4 relevance to national development needs, 3.2.3 Component 3 – implementation of EbA pilots at ecosystem level, and 3.2.5 Component 4 – EbA learning and knowledge management). Therefore 'learning-by-doing' capacity building approach is a win-win approach that result in greater ownership of project results and impact, and should be promoted in project design and implementation

300. **Harmonized reporting systems by partners:** While the involvement of multiple implementing partners (UN Environment, UNDP and IUCN) was advantageous in utilizing the comparative advantages of the different partners, partners had different reporting mechanisms (including financial reporting) that complicated project management. This was time and resource consuming. In addition, complications were also experienced in decision-making and adaptive management (flexibility), especially regarding to financing (see sections 3.6.2 project implementation and management, 3.6.6 financial planning and management). Therefore, implementation of projects with more than one implementing partner, though beneficial, requires harmonization of reporting and financing systems so that there is single harmonized reporting system to ease project management and decision-making.

301. **Place PMUs and Project coordinators at neutral institutions:** Within countries, PMU and Project Coordinators were put in place by one partner, UNDP. Some project partners looked at the PMU as UNDP coordination Units and the Project Coordinator were looked at as UNDP staff with no coordination mandate on other project partners. This in way created some tensions in the early stages of the project. Therefore, in projects that involve multiple partners, PMUs and Project Coordinators should be put in place by neutral organization, and more especially by respective governments.

Lessons learned for EbA and other adaptation projects

302. **Phased approach to conducting VIA studies:** The detailed VIA studies took long to be completed (1-2 years). This affected the logical/stepwise implementation of project components and also delayed the timely delivery of project outputs and outcomes. Owing to VIA delays, some partners conducted rapid vulnerability assessments through which 'no-regret' adaptation measures were identified and implemented in the pilot sites, and most of the measures were validated by the detailed VIAs as EbA options. Therefore, not all adaptation projects that combine science and application require detailed VIAs before implementation of adaptation option can begin. Adaption project could be designed in a way to allow the science and implementation to go hand in hand. In

particular, adaptation projects could adopt a phased VIA approach starting with rapid vulnerability assessments (which are quick and less costly) involving communities at the start of the project to assess the situation, and identify problems and needs. This can be followed by implementation of quick adaptation measures to enable 'learning by doing'. Detailed or deeper VIAs can then be conducted at a later stage depending on the needs identified, as implementation and learning is in progress.

303. **Conduct CBA in the early stages of project:** CBA studies were conducted late in the project implementation period and did not inform the selection and piloting of EbA options. The studies were delayed because the VIAs that would have determined the scope of CBA studies also delayed. If CBAs are to be beneficial, they should be conducted at the beginning of the project. Where it is not possible, rapid vulnerability assessments should be followed by rapid CBA studies to inform the selection of quick start adaptation actions. Detailed CBA studies can then be conducted at a later stage depending on identified needs and gaps.

304. **Incentives are crucial for uptake of EbA:** In Uganda, the design of incentives especially the community conservation fund and PES propelled uptake of EbA options to high levels. Livelihood diversification interventions also proved to be effective in reducing pressure on ecosystems and delivering short-term socio-economic benefits because the benefits of EbA options can only be realized in the long-term. Another natural incentive becomes apparent when the communities receive information regarding options of solutions to the problems they are facing due to Climate Change. Therefore, incentive scheme are key entry points for promoting EbA options and could be very effective if they are integrated in project design, and implemented in a participatory manner. To be effective, however, an incentive scheme should be able to cover the entire targeted community.

4.3 Recommendations

305. Based on the evaluation findings, a number of recommendations have been made. The recommendations look ahead to the post-project period and development and implementation of other UN Environment projects and sustaining the results of the EbA project in countries. Apart from UN Environment, the recommendations are targeted at UNDP, IUCN, and the Governments of Nepal, Peru and Uganda.

306. **Recommendation 1.** The project has created a considerable interest and confidence in EbA and has generated useful lessons and best practices that can be scaled up and replicated. However, the project activities were limited to pilots in Panchase, NYCLR and Mt. Elgon and involved a few partners. Successful uptake of EbA and building mountain ecosystem resilience in countries will require follow-up activities to communicate and disseminate EbA lessons learned and replicate EbA options outside the pilot sites. It is recommended that UN Environment, together with governments in Nepal, Peru and Uganda, continue to seek funds from donors for follow up work.

307. **Recommendation 2.** The EbA M&E framework was initiated late in countries and was only finalized towards the end. There is need for a follow up activity on measuring ecosystem change using indicators in the developed M&E framework. The extensive work carried out by the project in developing EBA indicators could be used for future EBA projects and programmes.

4.4 Summary of ratings

308. Ratings for the individual criteria are given in Table 6. The overall rating for the based on the evaluation findings is "**Satisfactory".**

Table 6: Summary of Evaluation criteria, assessment and ratings

Criterion	Summary Assessment	Ref.	Rating
A. Strategic relevance	The project's objective and components are highly aligned to countries' development, environment and climate change needs and priorities. The project is also relevant and consistent to UN Environment policies and programmatic objectives.	3.1	Highly Satisfactory
B. Achievement of outputs	Almost all the outputs were satisfactorily achieved based on the log-frame indicators. The technical outputs for all components were of a high quality. Outputs on outcomes 3,4 and 5 were exceptionally achieved.	3.2	Satisfactory
C. Effectiveness: Attainment of objectives and planned results	The project's planned results were achieved, and represent key steps towards the intermediate state. Countries capacity to apply EbA to build mountain ecosystem resilience and reduce vulnerability of mountain communities to climate change was strengthened. Overall, countries can plan, implement and monitor EbA at ecosystem level.	3.3	Satisfactory
1. Achievement of direct outcomes as defined in the reconstructed TOC	The direct outcomes of the project were achieved. EbA tools and methodologies (VIAs) were developed and applied at ecosystem level. EbA options were prioritized and implemented at ecosystem level. An economic and policy change case was made for adoption of EbA at national and global level. In countries, drivers were catalyzed for integration in national and sectoral policies. The lessons learned and best practices have been documented and disseminated.	3.3.1	Satisfactory
2. Likelihood of impact using ROtI approach	The project outcomes achieved have implicit forward linkages to intermediate states and impacts. However responsibilities have not been clearly allocated after the end of the project. A follow up phase is necessary.	3.3.2	Moderately Likely
3. Achievement of formal project objectives as presented in the Project Document.	The project's formal objectives were achieved. Capacity to apply EbA was strengthened. There is increased EbA awareness and knowledge and awareness. Decision makers have confidence in EbA and are committed to apply it.	3.3.3	Satisfactory
D. Sustainability and replication	The project built on successful experience or lessons learnt of previous initiatives. Strong capacity building and demonstration of EbA options at ecosystem/community levels that are beneficial after the project implementation period. However, financial sustainability is less likely because there are no indications of continued financial assistance after the project expiry. No deliberate exit strategy was mentioned in the ProDoc.	3.4	Moderately Likely
1. Socio-political sustainability	The project was implemented in a participatory manner and succeeded in getting political buy-in and ownership. It generated considerable social and political support at national, local and community levels; and succeeded in I in influencing policy at local and national levels. In addition the project contributed to increased global EbA debate and policy. Therefore, the socio-political environment is conducive to sustaining the project outcomes.	3.4.1	Likely
2. Financial resources	The project succeeded in building a case for EbA financing in Nepal and Peru, though it did not do so in Uganda. There is need for follow up funding to upscale project achievements.	3.4.2	Moderately Likely
3. Institutional framework	The project built strong partnerships with a number of national and sub-national government institutions, NGOs and communities. Strengthening the capacity of	3.4.3	Highly Likely

	government institutions and communities will ensure the continuation of project outcomes.		
4. Environmental sustainability	Identification and implementation of EbA options, including ecosystem restoration, water conservation, land rehabilitation, natural grassland management promotes environmental sustainability. Up-scaling and replicating these interventions will greatly enhance environmental sustainability in countries. However, population growth and land scarcity in Uganda as well as emergencies (earthquakes like Nepal) could create pressures that could potentially undermine ecological sustainability.	3.4.4	Likely
5. Catalytic role and replication	The project has raised EbA awareness and increased confidence in EbA approaches. The implementation of EbA options at ecosystem level has demonstrated the benefits of promoting EbA. The project has produced and disseminated lessons learned and best practices and tools that will facilitate replication. Examples of scaling up are already evident, but greater support and financial resources are required.	3.4.5	Satisfactory
E. Efficiency	Cost efficiency measures were adopted during implementation. The cost efficiency was good which resulted in achievement of project results within the planned budget and time frame, supported by the high level of ownership. Though the project experienced unnecessary delays in its initial stage, remedial measures were put in place that fast tracked the project implementation to high level of success.	3.5	Moderately Satisfactory
F. Factors affecting project performance		3.6	
1. Preparation and readiness	The initial/first global project document (ICI proposal) developed in 2010 was not detailed. It did not clearly spell out partners' responsibilities and had no log-frame. The Country ProDocs were, however, well designed and detailed.	3.6.1	Moderately Satisfactory
2. Project implementation and management	At project start, tensions were high among project partners due to differences in approach and reporting. These were later resolved and the implementation approach was effective and smooth. Adaptive management measures were taken when needed to ensure that the project remained on track.	3.6.2	Satisfactory
3. Stakeholders participation, cooperation and partnerships	A participatory approach was used, and wide range of stakeholders, from local communities to sub-national and national governments were involved in project delivery or were targeted for capacity building. NGOs actively participated in implementing the project. Considerable effort went into raising awareness on EbA and climate change adaptation and implementation of EbA options on the ground.	3.6.3	Highly Satisfactory
4. Communication and public awareness	Communication was difficult at the start of the project. However, this was improved and significant effort went into raising public awareness and mobilizing communities and stakeholders to implement project activities. A range of communication material was prepared. Public awareness workshops were convened and demonstrations of EbA practices conducted. Various platforms/forums (websites, FEBA, COPs, CBA conferences etc) were used to disseminate project achievements and success stories. Clear communication between PMU, partners and beneficiaries was key in the project success.	3.6.4	Highly Satisfactory
5. Country ownership and drivenness	The project responded to country needs for increasing ecosystem resilience and reducing vulnerability to climate change. Thus, there was a high level of country ownership	3.6.5	Highly Satisfactory

	and drivenness.		
6. Financial planning and management	Financial planning and management was in accordance with UN Environment's and UNDP's requirements. Project expenditures were according to budget. The reporting was good, although two separate financial reporting's were done by UNDP and IUCN. Independent audits were conducted and recommendations implemented. Some delays in funds disbursement were reported at UN Environment. There were no irregularities noted.	3.6.6	Satisfactory
7. Supervision, guidance and technical backstopping	Both UN Environment and UNDP played an adequate role in supervision and backstopping with great team commitment. No major issues in project implementation and execution were encountered.	3.6.7	Highly Satisfactory
8. Monitoring and evaluation	The overall rating on M&E is based on rating for M&E implementation.	3.6.8	Satisfactory
i. M&E design	The first global ProDoc (ICI proposal) designed in 2010 had no log-frame, but the revised UNEP ProDoc of 2015 had a log-frame in retrospective. Country ProDocs had well designed M&E and had log-frames with output indicators, but not outcome indicators.	3.6.8	Moderately Satisfactory
ii. M&E plan implementation	Country M&E frameworks were developed in the early stages of the project and used in project monitoring and reporting. Within countries, there was regular monitoring of progress, reporting and documenting lessons learned. Joint monitoring field visits to pilot sites were conducted. Local governments and communities participated in monitoring. MTR were conducted in Nepal and Uganda and not in Peru.	3.6.8	Satisfactory
Overall project rating			Satisfactory

5 ANNEXES

ANNEX I: TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

1. In line with the UNEP Evaluation Policy[65] and the UNEP Programme Manual[66], the Terminal Evaluation is undertaken at project completion to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP, IUCN and national partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

2. This evaluation terms of references include the project "*Ecosystem-based adaptation for mountain ecosystems*" (EbA for mountain ecosystems project) implemented within the umbrella EbA project "*Support for building resilience of vulnerable ecosystems*" during the PoW periods 2010-2011 and 2012-2013 and as a stand-alone project during the UNEP PoW period 2014-2015.

3. The evaluation will focus on the following sets of **key questions**, based on the project's intended outcome as defined in the project's logical framework and the project's objective statements as defined in the project document. These questions may be expanded by the evaluation consultants as deemed appropriate:

(a) To what extent has the project enhanced the ability of decision makers in Nepal to plan and implement EbA strategies and measures at national and ecosystem level in the Panchase area of the Himalayas?

(b) To what extent has the project strengthened Peru's capacity to identify and implement EbA measures that reduce the vulnerability to climate change of local communities in high mountain ecosystems in Nor Youyos-Cochas in the Andes?

(c) To what extent has the project strengthened Uganda's capacity to promote EbA options and to reduce the vulnerability of communities to climate change impacts in the Mount Elgon ecosystem?

(d) Has ecosystem-based adaptation been incorporated into national planning and development processes concerning mountain ecosystems in Nepal, Peru and Uganda as a result of the project? Have the EbA measures led to improved delivery of ecosystem services? Has the project led to a reduction of vulnerability to the impacts of climate change in the target communities?

(e) Was the project successful in supporting the integration of EbA principles into good practices and recommendations for informing adaptation policies, development and financial models and plans relevant for up-scaling? To what extent has the project set the bases for scaling up the EbA approach at national level? What about at regional and global level? To what extend was the project able to influence international discussions on EbA?

(f) How did UNEP, UNDP and IUCN as well as the national partner governments assess the partnership and cooperation of the three implementing entities? What lessons can be learned for future collaborative projects?

Overall approach and methods

4. The Terminal Evaluation of the Project will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office (EOU) in consultation with the UNEP Project Manager, the Head of the Climate Change Adaptation Unit of UNEP DEPI, UNEP Sub-Programme Coordinator of the Climate Change Sub-programmes, UNDP Country Offices for Nepal, Peru and Uganda, and UNDP and IUCN staff directly involved in execution of the project.

5. The evaluation will be in-depth, using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against their expected outputs, outcomes and impacts. The consultants will maintain close communication with the project team and promote information exchange throughout the evaluation in order to increase the project team's (and other stakeholders') ownership of the evaluation findings.

6. The findings of the evaluation will be based on the following (but not limited to):

(a) A **desk review** of:

- Relevant background documentation, inter alia UNEP's Medium-Term Strategy documents for 2010-2013 and 2014-2017 with the respective PoW documents, UNDAF documents for Nepal (2013-2017), Peru (2012-2016) and Uganda (2010-2014);

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

[66] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

- UNEP and UNDP project design documents (including minutes of the project design review meetings at approval), country specific project documents for Nepal, Peru and Uganda; annual work plans and budgets or equivalent, project revisions, logical frameworks and their budgets and the project proposal to BMUB,
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Documentation related to project outputs;
- MTR conducted by UNDP;

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

- Project team including Project Manager at UNEP DEPI, UNEP-WCMC and staff at relevant UNEP regional offices, Project Managers of the executing partners at UNDP and IUCN;
- Head of UNEP DEPI Climate Change Adaptation Unit;
- UNEP Climate Change Sub-programme Coordinator;
- UNEP Fund Management Officer;
- Relevant staff at UNDP country offices for Nepal, Peru and Uganda;
- Relevant staff at IUCN;
- Representatives of the national partner agencies in Nepal, Peru and Uganda;
- Other relevant resource persons.

(c) **Field visits**

The consultants will visit the project demonstration sites in Nepal, Peru and Uganda.

(d) **Other data collection tools**

The evaluation consultants will provide a detailed description of data collection tools, such as use of surveys, in the evaluation inception report.

Key evaluation principles

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

8. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in five categories: (1) strategic relevance; (2) attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) sustainability and replication; (4) efficiency; and (5) factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

9. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

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

11. **Theory of Change (ToC)**. UNEP project evaluations make use of ToC analysis to help assess several evaluation criteria. The ToC of a project describes the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and human living conditions). The ToC also presents any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further describes the external factors that influence change along the major impact pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.

12. A ToC is best presented as a narrative accompanied by a diagram. A diagram is often useful to show an overview of the causal pathways, the cause-to-effect relationship between different results / changes, and where the drivers and assumption intervene along the results pathways. It is also a useful tool for discussing the ToC with project stakeholders. The narrative, however, will explain how or why one result is expected to lead to another, and should also present the roles of the main stakeholders in the change processes and how they can be affected by the changes resulting from the project intervention.

13. The evaluation will reconstruct a ToC of the project at design (ToC at design) and at evaluation (reconstructed ToC), based on a review of project documentation and stakeholder interviews. Verifying, amending and updating the problem analysis at the origin of the project will be an essential first step in reconstructing the ToC. The evaluators are expected to discuss the problem analysis and reconstructed ToC with key stakeholders during evaluation missions and/or interviews in order to ascertain their understanding of the project context, the impact pathways, the roles of various stakeholders and the validity of drivers and assumptions described in the ToC. Annex 8 proposes an approach for reconstructing the ToC of a project at design and at evaluation.

14. Theory of Change analysis is used to assess an intervention's causal logic, effectiveness and likelihood of impact, but also to help assess many other evaluation criteria. For example, it can help to verify alignment of the project with UNEP's Programme of Work and the Sub-programme's Theory of Change as well as the country priorities and UNDP country programmes, and help to assess the extent to which the project intervention responds to stakeholder priorities and needs. In addition, ToC analysis can support the assessment of sustainability and up-scaling by providing better understanding of the relative importance of outputs, outcomes, drivers and assumptions, along with the role of stakeholders, in sustaining and up-scaling higher level results. ToC analysis is also useful to assess adaptive management undertaken by the project to respond to changes in context and deal with false assumptions.

15. **The "Why?" Question.** As this is a terminal evaluation and similar interventions are envisaged for the future, particular attention should be given to learning from the experience. Therefore, the "*Why?*" question should be at the front of the consultants' minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of "*what*" the project performance was, and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was. This would include reviewing the Theory of Change of the project and the processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain "*why things happened*" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "*where things stand*" at the time of evaluation.

16. A key aim of the evaluation is to encourage reflection and learning by UNEP, UNDP and IUCN staff and key project stakeholders. The consultants should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

17. Communicating evaluation results. Once the consultants have obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager at the Evaluation Office will plan with the consultants which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Evaluation criteria

Strategic relevance

18. The evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.

19. The evaluation will assess the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval, as well as UNDAFs of the participating countries. The evaluation consultants can use the ToC at design and the reconstructed ToC at evaluation to verify the alignment of the project with UNEP's Medium-Term Strategy (MTS), Programmes of Work (PoW) and Programme Framework documents[67] and UNDAF documents of the countries for the period covered by the intervention. The evaluation will assess whether the project is intended to make a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013 and 2014-2017, outputs in the PoWs 2010-2011, 2012-2013 and 2014-2015 and UNDAF outcomes, and whether the ToC is aligned with UNEP's Climate Change Sub-programme's Theory of Change presented in the Programme Framework documents. The evaluation will also assess consistency of the project with the goals and priorities of the International Climate Initiative of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety.

20. Also, the problem analysis allows the evaluation consultants to verify whether the ToC at design took into account the whole complexity of issues the project set out to address, or whether some important elements were ignored or underplayed. Similarly, the problem analysis can be used to verify whether any revisions to the project's intended results reflected in the reconstructed ToC (e.g. updates to the project Logical Framework) took into account any changes in the problem situation and the project context that occurred during the lifetime of the project.

21. The evaluation should assess the project's alignment / compliance with UNEP's policies and strategies. The evaluation should provide a brief narrative of the following:

1. *Alignment with the Bali Strategic Plan (BSP)*[68]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
2. *Gender balance*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the project intended results contributing to the

[67] UNEP's Medium-Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as sub-programmes (SP), and sets out the desired outcomes [known as expected accomplishments (EAs)] of the sub-programmes. Programmes of Work are biennial planning documents that set out, for each sub-programme (SP), the desired outcomes (known as expected accomplishments) and Programme of Work outputs. Programme Framework documents are prepared for each sub-programme and present the overall sub-programme's Theory of Change.

[68] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance gender equity?

3. *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
4. *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.
5. *Safeguards*. Whether the project has adequately considered environmental, social and economic risks and established whether they were vigilantly monitored. Was the safeguard management instrument completed and were UNEP environmental and social safeguard-requirements complied with?

22. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

Achievement of outputs

23. The evaluation will assess, for each component, the project's success in producing the programmed outputs (products and services delivered by the project itself) and milestones as per the project documents and any modifications/revisions later on during project implementation, both in quantity and quality, as well as their usefulness and timeliness. In the evaluation of achievement of outputs, the evaluation will consider, in addition to the UNEP project documents, the project proposal to BMUB, the country specific project documents and the UNDP project document.

24. While the assessment of achievement of outputs should cover all programmed outputs at design and those outputs added by possible project revisions, it is often impossible to assess all project outputs with the same level of detail. The reconstructed ToC at evaluation can be used to determine what project outputs are most essential for achieving the project outcomes, and also to establish the minimum characteristics and quality requirements for the project outputs so that they can provide their expected contribution to the project outcomes. The assessment of achievement of outputs can then focus on the most critical outputs, and verify whether these meet the requisite characteristics and quality.

25. The evaluation should briefly explain the reasons behind the success (or shortcomings) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs to promote their ownership and use?

Effectiveness: attainment of objectives and planned results

26. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved. Similarly, to the assessment of outputs, the assessment of attainment of objectives and planned results will consider, in addition to the UNEP project documents, the project proposal to BMUB, the country specific project documents and the UNDP project document. The assessment of effectiveness will be structured in three sub-sections:

(e) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. Outcomes are often changes in capacity at the individual and institutional level[69]. The main question will be to what extent the project has contributed to the immediate outcomes.

For many projects, outcomes have not been defined at an appropriate results level. For others, no outcomes have been defined at all, but rather a project "goal", "purpose" or "objectives". The reconstructed ToC at evaluation should have redefined the intended changes at the outcome level (see Annex 8), to make sure that the effectiveness of the project is assessed at the outcome level, and not at the output level (which is assessed under achievement of outputs) or any level above the outcome level (which would be too far beyond the project's accountability[70]).

(f) Assessment of the **likelihood of impact.** Impact in UNEP is defined as intended and unintended long term changes in environmental benefits and human living conditions resulting directly or indirectly from UNEP interventions. Often, impact takes more than the lifetime of a project to occur, and depends on the presence of several external conditions over which the project has limited or no control. Besides, projects seldom dispose of accurate baseline information and rarely monitor progress at the impact level during their lifetime. Reliable information on a counterfactual (a comparable situation without the project) at the time of design and at the time of evaluation is usually missing as well. For these reasons, it is often not possible to measure actual impact of a project, but only to estimate the likelihood or potential for

[69] According to current development literature (e.g. by UNDP) capacity exists at the individual level (individual knowledge and skills), institutional level (policies, organizational structures, and effective methods of management), and the societal level (responsive and accountable management and governance).

[70] Intermediate states of an intervention are expected to result from its outcomes, with the support of certain drivers and assumptions. They are usually changes in capacity at the societal level or changes in individual, group or organizational *behavior* resulting from the application of capacities acquired at the individual and institutional level. Because achievement of intermediate states depends a lot on the presence of favorable external conditions, an intervention cannot be held accountable to the same extent for the achievement of intermediate states as it would be held accountable for the achievement of its outputs and outcomes.

impact using a theoretical approach based on the intervention's ToC. In UNEP, this approach is called the "Likelihood of Impact Assessment (LIA)". The evaluation consultants will go through the following steps:

1 **Assessment of the internal logic of the project.** By comparing the ToC at design with the reconstructed ToC, the evaluators will verify whether project outputs are logically connected (from cause-to-effect) to intended outcomes, and whether intended outcomes are logically connected to the expected impact. They will check whether all essential outputs and outcomes have been taken into account in project design and whether all necessary drivers and critical assumptions have been adequately considered. This is explained in more detail under the assessment of preparation and readiness. It is also important here to determine the relative importance of the different causal pathways within the ToC, as this might require the evaluators to allocate more weight to some changes along the results chains compared to others.

2 **Assessment of effectiveness**. The evaluators will assess the extent to which outcomes (as per the reconstructed ToC) have been achieved. This is described in more detail under the assessment of **achievement of outcomes**.

3 **Verification of drivers and assumptions**. The evaluators will review the actual presence of the necessary drivers and validity of assumptions presented in the reconstructed ToC and assess whether the project has made all possible efforts to ensure the presence of drivers, and made the necessary adjustments (adaptive management) in case certain critical assumptions proved to be invalid.

4 **Progress on intermediate states and early sign of impact**. The evaluators will actively search for evidence of changes happening at the intermediate state level and possible early indications that impact is happening at a smaller scale (e.g. within the confines of a project demonstration site). These early signs can strengthen the confidence of the evaluators that the project's ToC actually works.

5 **Assessment of the likelihood of impact.** Based on the previous steps, the evaluators will be able to conclude how likely it is that the project is contributing or will contribute to impact. If the internal logic of the project is strong, outcomes have been achieved, all drivers and assumptions are in place, and progress on intermediate state and possibly impact at a smaller scale have been demonstrated, it is highly likely that the intervention will contribute to impact. On the other hand, if there are flaws in the internal logic of the project, some key outcomes have not been achieved, certain drivers or assumptions are not in place, or there is very little evidence of any progress on intermediate states and impact at small scales, the likelihood that the intervention will contribute to impact will be much lower.

The evaluators will derive a **rating for the likelihood of impact** on a six-point scale (from 1 = highly unlikely to 6 = highly likely) by rating the elements i) to iii) above on a 6-point scale (from 1 = very low/weak to 6 = very high/strong). The rating for likelihood of impact would then be the lowest rating given to these elements, but possibly adding one bonus point in case there is solid evidence of progress on intermediate states or impact (element d) above). For instance, a project with a robust ToC at evaluation (rating of 6) with satisfactory effectiveness (rating of 5) and presence of most but not all drivers and assumptions (rating of 4), that shows some clear progress on intermediate states at the scale of its demonstrations sites, would be rated "likely" to achieve impact (4 + 1 = 5). In contrast, a project with serious logic shortfalls in the ToC at design (rating of 2), but very high effectiveness (rating of 6) and presence of the essential drivers and assumptions (rating of 5) and no signs of progress on intermediate states or impact (no bonus point) would be rated "unlikely" to achieve impact (2).

The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (project documentation relating to Environmental, Social and Economic Safeguards).

(g) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the project document[71]. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the logical framework of the project, adding other relevant indicators as appropriate. The evaluation will briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher-level result to which the project is intended to contribute. The section will describe the actual or likely contribution of the project to the objective.

(h) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which human rights and gender equity – considerations were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of human rights and gender equity principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

Sustainability and replication

27. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time.

[71] Or any subsequent formally approved revision of the project document or logical framework.

28. The evaluation consultants can use the reconstructed ToC at evaluation to see whether sustainability has been built into the impact pathways and whether the necessary drivers and assumptions (external factors and conditions) affecting sustainability have been adequately considered in the project's intervention logic. The evaluators should assess how likely the sustainability of direct outcomes (derived from the reconstructed ToC) is, and what the relative importance is of the direct outcomes to sustain higher level changes. Indeed, as outcomes relate most often to individual and institutional capacity building, they are often by themselves expected to ensure sustainability. For instance, a set of new regulations could be at the basis of a lasting change in how a natural resource is being managed. In addition to looking at the direct outcomes, the evaluation consultants will further assess sustainability of changes at intermediate state and impact levels by verifying the presence of drivers and validity of assumptions (derived from the reconstructed ToC) that affect sustainability of higher-level results, considering their relative importance. Many drivers and assumptions required for progressing along the causal pathways from outputs to impact are also required for sustaining positive changes. Those external factors affecting sustainability are categorized in socio-political factors, financial factors, institutional factors and environmental factors:

Four aspects of sustainability will be addressed:

(i) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to sustain the project results? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of human rights and gender equity – considerations led to an increase in the likelihood of sustainability of project results?

(j) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources[72] will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?

(k) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?

(l) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher-level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur, as the project results are being up-scaled?

29. **Catalytic role, replication and up-scaling**. The catalytic role of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities, which are innovative, and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

(m) *Catalysed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;

(n) Provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

(o) Contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;

(p) Contributed to *policy changes* (on paper and in implementation of policy);

(q) Contributed to sustained follow-on financing (*catalytic financing*) from governments, private sector, donors etc.;

(r) Created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

30. *Replication* is defined as the repetition of project approaches or application of project lessons in different geographic locations, while *up-scaling* is defined as the repetition of project approaches or application of project lessons in the same area, but on a much larger scale. Both replication and up-scaling should be undertaken by other actors and be funded by other sources than the project itself.

31. ToC analysis can help with the assessment of replication and up-scaling potential of an intervention in a similar way it can help with the assessment of sustainability, except that here, the evaluators should focus on those direct outcomes, drivers and assumptions that are most necessary for replication and up-scaling of project results. The evaluation consultants can thus use the reconstructed ToC to see whether replication and up-scaling have been built into the causal pathways and whether the necessary drivers and assumptions (external factors and conditions) promoting replication and up-scaling have been adequately considered in the project's intervention logic. To assess the likelihood of replication and up-scaling, the evaluators will assess the relative importance of direct outcomes, drivers and assumptions (derived from the reconstructed ToC) for enabling replication and up-scaling, and verify to what extent the most influential ones have been achieved or are present. The reliability of this assessment can be enhanced by looking for early evidence of replication or up-scaling during the project lifetime.

Efficiency

[72] Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

32. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its secured budget and time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will answer the question; was the project cost-effective. The evaluation will also assess the extent to which human rights and gender equity-considerations were allocated specific and adequate budget in relation to the results achieved.

33. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects to increase project efficiency.

Factors and processes affecting project performance

34. **Preparation and readiness**. This criterion focusses on the quality of project design and preparation. Were project stakeholders[73] adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of the project identified? Were the capacities of executing agencies properly considered when the project was designed? Were the different project documents prepared for the EbA for Mountain Ecosystems project coherent and consistent? Were the different project documents developed (UNEP, UNDP, project proposal to BMUB and the country-specific project documents) clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

35. The ToC of a project can be used to assess several aspects of project design, and, as a result, for assessing how well stakeholders were likely involved during project design processes. The UNEP Programme Manual recommends that all projects are designed on the basis of a thorough situation analysis with the development of a problem tree. This problem tree should then be used by the designers to develop the ToC of the project, by inverting problems into positive changes and conditions, and determining which changes and conditions the project will focus on. The necessary changes and conditions that are not part of the project's focus should then be considered as external factors affecting impact (either drivers or assumptions).

36. The evaluators can assess the quality of the project's ToC by comparing the ToC at design with the reconstructed ToC and determine, among other things, whether project outputs are logically connected (from cause-to-effect) to intended outcomes, and whether intended outcomes are logically connected to expected impact. They will check whether all essential outputs and outcomes have been taken into account in project design, and whether all necessary drivers and critical assumptions have been adequately considered. An important aspect here is to assess whether the project's focus is appropriate vis-à-vis: i) UNEP's mandate, programme of work and comparative advantages; ii) partners', governments' and other stakeholder priorities; iii) what causal pathways are expected to most strongly contribute to impact; iv) resources available (including time); and v) what is being addressed by other actors (to find complementarities and synergies, and avoid duplication). Also, the evaluators should verify whether appropriate strategies have been built into project design to promote the drivers and manage the risks of possibly invalid assumptions. As noted above, drivers and assumptions cannot only affect the likelihood of impact, but may also play a major role in sustainability and replication and up-scaling.

37. The evaluators can also use the reconstructed ToC to assess the quality of the stakeholder analysis in the project document, by verifying whether key stakeholders have been properly identified. With the help of the reconstructed ToC, they can also assess whether sufficient analysis is provided on how different stakeholders can affect or be affected by project results; the nature of relationships that exist among stakeholders; and how they should be incorporated into project design (as partners, beneficiaries, champions, victims, resistors etc.). On the basis of the assessment of the project focus and the stakeholder analysis, the evaluation consultants could also draw some conclusions on how well stakeholders were likely involved during project design.

38. **Project implementation and management**. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions and responses to changing risks including safeguard issues (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

(s) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
(t) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
(u) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
(v) Assess the extent to which project management responded to direction and guidance provided by the project steering bodies.
(w) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

[73] Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

39. The ToC can help understand the exact role of the project management team in delivering the project outputs and pushing change along the different causal pathways. The evaluation consultants can further assess whether the project team has put sufficient effort in promoting the drivers presented in the reconstructed ToC. Also, a comparison of the original ToC at design and the reconstructed ToC at evaluation can help assess adaptive management by the project to respond to a changing context and react to invalid assumptions.

40. **Stakeholder participation, cooperation and partnerships.** The evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users of project products. The ToC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision-making and activities. The evaluation will specifically assess:

(x) The approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?

(y) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?

(z) Was the level of involvement of UNEP's regional, liaison and out-posted offices in project design, planning, decision-making and implementation of activities appropriate?

(aa) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the project document? Have complementarities been sought, synergies been optimized and duplications avoided?

(bb) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.

(cc) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?

(dd) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision-making?

41. The evaluation consultants can refer to the reconstructed ToC to verify whether it includes an approach for sharing information and cooperation with partners, national/local project stakeholders and other UNEP units, projects and programmes. Also, the reconstructed ToC, stakeholder analysis and partner analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact, and should help to answer many of the questions asked above.

42. **Communication and public awareness**. The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report. Did the project identify and make use of existing communication channels and networks used by key stakeholders? Did the project provide channels for stakeholders' feedback?

43. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution:

(ee) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?

(ff) How and how well did the project stimulate country ownership of project outputs and outcomes?

44. **Financial planning and management**. Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

(gg) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;

(hh) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;

(ii) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4);

(jj) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

45. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.

46. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems, which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make.

47. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

(kk) The adequacy of project supervision plans, inputs and processes;
(ll) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
(mm) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

48. **Monitoring and evaluation**. The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on two levels:

(nn) *M&E Design*. The evaluators should use the following questions to help assess the M&E design aspects:
- Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
- How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logical framework for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on human rights and gender equity (including sex-disaggregated data)?
- Did the project appropriately plan to monitor risks associated with environmental, economic and social safeguards?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

(oo) *M&E Plan Implementation*. The evaluation will verify that:
- The M&E system was operational and facilitated timely tracking of results and progress towards project's objectives throughout the project implementation period;
- Progress and financial reports were complete and accurate;
- Risk monitoring (including safeguard issues) was regularly documented;
- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

49. The ToC of the project can help with assessing the quality of project monitoring and evaluation plans and tools, and how information gathered by the M&E system was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability, replication and up-scaling. More specifically, the assessment of the ToC at design based on the project logical framework and the reconstructed ToC at evaluation can help with the assessment of the quality of the logical framework (original and possible updates) as a planning and monitoring instrument. The quality of the ToC at design can also be very telling about the adequacy of baseline information, for instance on the problem context, lessons learned from previous experience on what works and doesn't work and the capacity of partners.

50. The evaluators can compare the ToC at design and the reconstructed ToC to verify whether monitoring and mid-term evaluation/review findings (if conducted) have been used to bring possible adjustments to the project focus, increase attention on key drivers and put in place measures to deal with possible false assumptions, in other words whether the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

The evaluation team

51. For this evaluation, the UNEP Evaluation Office will contract a team of two evaluation consultants. Details about the roles and responsibilities of the consultants are presented in Annex 1 of these ToRs. The consultants will have extensive evaluation experience, including using the theory of change approach, and a broad understanding of ecosystem-based climate change adaptation and disaster risk reduction.

Evaluation deliverables and review procedures

52. This evaluation terms of references include the project "*Ecosystem-based adaptation for mountain ecosystems*" (EbA for mountain ecosystems project), implemented within the umbrella EbA project "*Support for building resilience of vulnerable ecosystems*" during the UNEP PoW periods 2010-2011 and 2012-2013 and as a stand-alone project during the UNEP PoW period 2014-2015.

53. The evaluation consultants will prepare an **inception report** (see Annex 2a of ToRs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed theory of change of the project, an evaluation framework and a tentative evaluation schedule.

54. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the context, design and process of the project at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project;
- Preparation and readiness;
- Financial planning;
- M&E design;
- Sustainability considerations and measures planned to promote replication and up-scaling.

55. The inception report will present a draft, desk-based reconstructed theory of change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

56. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the project document and discussion with the project team. See Annex 2 for template.

57. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

58. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluators are encouraged to make use of multimedia formats in the gathering of information e.g. video, photos, sound recordings. Together with the full report, the evaluators will be expected to produce a 2-page summary of key findings and lessons. A template for this has been provided in Annex 10.

59. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visits and tentative list of people/institutions to be interviewed.

60. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

61. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. If possible, the main evaluation report will be also provided in Spanish. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

62. **Review of the draft evaluation report**. The evaluation consultants will submit a zero draft report to the Evaluation Office of UNEP and revise the draft following the comments and suggestions made by the EOU. Once a draft of adequate quality has been accepted, the EOU will share this first draft report with the Project Manager, who will alert the EOU in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the EOU for collation. The EOU will provide the comments to the evaluation consultants for consideration in preparing the final draft report, along with its own views.

63. The evaluation consultants will submit the final draft report no later than two weeks after reception of stakeholder comments. The consultants will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. The consultants will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EOU with the interested stakeholders to ensure full transparency.

64. **Submission of the final evaluation report.** The final evaluation report shall be submitted by e-mail to the evaluation manager at the EOU who will then share the report with the Director of the Evaluation Office. The Evaluation Office will finalize the report and share it with the project stakeholders and other interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.

65. As per usual practice, the EOU will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

66. The Evaluation Office of UNEP will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluators and the Evaluation Office of UNEP on project ratings, both viewpoints will be clearly presented in the final report. The EOU ratings will be considered as the final ratings for the project.

67. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Project Manager. After reception of the Recommendations Implementation Plan, the Project Manager is expected to complete it and return it to the EOU within one month. The Project Manager is expected to update the plan every six month until the end of the tracking period. As this is a terminal evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.

Logistical arrangements

68. This evaluation will be undertaken by a team of independent evaluation consultants contracted by the Evaluation Office of UNEP. The consultants will work under the overall responsibility of the EOU and will consult with the EOU on any procedural and methodological matters related to the evaluation. It is, however, the consultants' responsibility to obtain documentary evidence, plan and organize meetings with stakeholders, organize online surveys, plan for travels in collaboration with the Evaluation Office, organize visas and accommodation for travels, and any other logistical matters related to the assignment. The UNEP Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

ANNEX II: RESPONSE TO STAKEHOLDER COMMENTS

All comments have been discussed and an agreement has been reached between the evaluation team and key stakeholders.

ANNEX III: EVALUATION PROGRAM AND STAKEHOLDERS CONSULTED

A: EbA Project Terminal Evaluation Programme - Main Timelines

Milestone	Dates
Consultant's contracts signed and work starts	1 June 2016
Inception Report finalized and shared within UN Environment	30 June 2016
Evaluation Mission in Peru	1-10 August 2016
Evaluation Mission in Uganda	1-18 August 2016
Evaluation Mission in Nepal	20-30 September 2016
Country Papers	15 December 2016
Zero draft report	30 December 2016
Draft Report shared with UN Environment	20 January 2017
Draft Report shared with stakeholders	15 March 2017
Final Report	31 March 2017

B: Stakeholders Consulted from the UN Environment

S.No.	Names	Organization	Title
1	Tiina Piiroinen	UN Environment, Evaluation Office	Evaluation Officer
2	Ermira Fida,	UN Environment – Ecosystems Division	Coordinator Climate Change Sub-Programme
3	Keith Alverson	UN Environment – Ecosystems Division	Coordinator, Climate Change Adaptation, Fresh Water and T.E Branch
4	Musonda Mumba	UN Environment – Ecosystems Division, Climate Change Adaptation Unit	Programme Officer/EbA Flagship Programme Coordinator/EbA Project Manager
5	Essey Daniel	UN Environment – Ecosystems Division, Climate Change Adaptation Unit	Associate Programme Officer Climate Change
6	Barney Dickson	UN Environment – Ecosystems Division	Head, Climate Change Adaptation Unit
7	Shakira Khawaja	UN Environment – Ecosystems Division	Fund Management Officer
8	Atifa Kassam	UN Environment – Ecosystems Division	Task Manger, GEF Climate Change Adaptation Portfolio,
9	Mozaharul Alam Babu	UN Environment – Africa Office	Regional Climate Change Coordinator, Asia- Pacific
10	Richard Munang	UN Environment – Africa Office	Regional Climate Change Coordinator, Africa

D: Stakeholders Consulted – Global Project

S.No.	Names	Country/Area	Organization	Title
1	Edmund Barrow	Global	IUCN	Director, Global Ecosystems Management Programme
2	Tine Rossing	Global	UNDP	UNDP Knowledge Manager (May 2014

S.No.	Names	Country/Area	Organization	Title
				to February 2016 Independent Consultant, Vancouver, Canada
3	Caroline Peterson	Global	UNDP Cape Town South Africa	Senior Advisor: Environmental Finance and SDGs
4	Ali Raza Rizvi	Global	IUCN Washington DC, USA	Programme Manager, EbA. Global Ecosystem Management Programme.
5	Charlotte Hicks	Global	UNEP-WCMC	Programme Officer, Climate Change and Biodiversity
6	Cordula Epple	Global	UNEP-WCMC	Senior Programme Officer, Climate Change and Biodiversity
7	Babatunde Abidoye	Global	UNDP	Economist

E. **Stakeholders Consulted during the Peru Mission**

S.No.	Person	Institution	Description
1	Edith Fernandez	UNDP	National Project Coordinator for EbA Peru, UNDP
2	James Leslie	UNDP	Climate change and Ecosystem technical evaluator
3	Woordro Andia Castelo	UNDP	National tecnical support and guide to work with UNDP
4	Pablo Douroyanni	UN Environment	UN Environment representative for EbA Peru and tecnical evaluator
5	Cecilia Cabello	SERNANP	Protected Regions National Director
6	Marco Arenas	SERNANP	In charge of follow up within Nor Yauyos Cochas Landscape Reserve
7	Eduardo Durand	MINAM	Director for Climate Change, Desrtification and Hydric Resources
8	Laura Avellaneda	MINAM	Coordinator of the CC
9	Walter Lopez	Regional Government of Junin	Ex Director of Natural resources and Climate
10		Regional Government of Junin	Regional in the Government of Junin
11	Communicator	Regional Government of Junin	City of Canchayllo
12	Elmer Segura	IUCN	Consultant of the IUCN (Mountain Institute in Peru), facilitator of the no regrets measures
13	Diego	SERNANP	Park Ranger Huancaya
14	Alan Quishpe	SERNANP	SERNANP – Tatta
15	Focus Group	Community	Tanta
16	Focus Group	Community	Miraflores
17	Focus Group	Community	Tomas
18	Focus Group	Community	Chancayllo
19	Gonzalo Quiroz	NYCLR	Cheif of Reserve in Tomas
2021	Florencia Zapata	IUCN (Mountain Institute)	Mountain Isntitute Coordinator
22	Aneli Torres	IUCN (Mountain Institute)	Asistant for the Coordinator

F**: Stakeholders Consulted during the Uganda Mission**

S.No.	Names	Organization	Title
1	Onesimus Muhwezi	UNDP Uganda	Team Leader, Energy and Environment
2	Irene Agudu	UNDP Uganda	Programme Associate, EbA/UNDP
3	Daniel Omodo McMondo	UNDP Uganda	Programme Analyst, Energy and Environment
4	Gershom Rutaro	UNDP Uganda	Programme Intern
5	Sophie Kutegeka Mbabazi	IUCN	Head of Office, IUCN Uganda
6	Cotlida Nakeyune	IUCN	Senior Programme Officer; Forests and Natural Resource Governance/Head of Office
7	Sandra Amongin	IUCN	Programme Assistant
8	Christopher Lutakome John	IUCN	Field Assistant
9	Pauline Nantongo	ECOTRUST	Executive Director
10	Paul Nteza	UNDP	National Programme Coordinator, EbA
11	Paul Mafabi	Ministry of Water and Environment	Director, Environment Affairs/EbA Project Manager
12	Maureen Anino	Ministry of Water and Environment	Senior Environment Officer/EbA Project Focal Point
13	Stephen David Mugabi	Ministry of Water and Environment	Commissioner, Environment Affairs
14	Awadh Chemangei	Kapchorwa District	District Natural Resources Officer (DNRO)
15	Carolyn Chelangat	Kapchorwa District	Community Development Officer
16	Fred Satya	Kapchorwa District	Sub-County Chief, Kapchesombe/ East Division
17	Musamiru Chelangat	Kapchorwa District	Community Development Officer – Kapsinda Sub county
18	Vincent Waniala	Kapchorwa District	Sub-County Chief, – Kapsinda Sub county
19	Razia Yamusobo	Kapchorwa District	Community Development Officer – Kawowo Sub county
20	Micheal Chemusto	Kapchorwa District	Sub-County Chief, – Kawowo Sub county
21	Samuel Chemusto	Kween District	District Natural Resources Officer – Kween District
22	Fred Chebet	Kween District	Chairman LC III – Benet Sub county
23	Rogers Chemutai	Kween District	Sub-County Chief – Benet Sub county
24	Benna Arapta	Kween District	Community Development Officer – Benet Sub county
25	Hellen Madanda	Bulambuli District	District Natural Resource Officer – DNRO.
26	Damali Nabwire	Bulambuli District	District Community Development Officer
27	Alfred Tsekeli	Bulambuli District	District Agricultural Officer
28	Aloysius Aloka	Bulambuli District	Chief Administrative Officer
29	Lwarence Wadada	Bulambuli District	Assistant Chief Administrative Officer
30	Rashid Mafabi	Sironko District	District Natural resources Officer
31	Raymond Wasukira	Sironko District	Community Development Officer, Bugitimwa Sub-county
32	Charles Nangumba	Sironko District	Community Development Officer, Budadiri Town Council
33	Jmaes Mafabi	Sironko District	Agent, Budadiri Town Council

S.No.	Names	Organization	Title
34	Zena Wadada	Sironko District	Chairperson Wagagai LCI
35	Geoffrey Wadaiga	Sironko District	Chairperson Nageiga LCI
36	Namisi John Sekaniya	Sironko District	Deputy Headmaster Kalawa Primary School Budadiri Town Council
37	Claire Wambazo	Sironko District	Headteacher Kalawa Primary School Budadiri Town Council
38	Francis Mwambu	Sironko District	Chairperson, Project Management Committee, Bunyawadde Ward, Budadiri Town Council
39	Godfrey Wogisha	Sironko District	Chairperson, Project Management Committee, Ndembelela Village, Bugitimwa sub-county
40	Dominico Nakileza	Sironko District	Chairperson, Ndembelela LCI, Bugitimwa sub-county
41	Samuel Chemusto	Kween District	District Natural Resources Officer
42	Benna Arapta	Kween District	Community Development Officer, Benet sub-county
43	Francis Musobo	Kween District	Community Development Officer, Kwosil sub-county
44	Toksin Alfred Kapchebukwo	Kween District	Chairperson LCI Chemang Village, Benet sub-county
45	Arap John Maloyok	Kween District	Chairperson LCI, Sukut Village, Benet sub-county
46	Michael Chemonges	Kween District	General Secretary, Fund Management Committee, Sukut Village, Benet sub-county
47	Julius Chembei	Kween District	Chairperson LCI, Porok Village, Benet sub-county
48	Fred Chemutai	Kween District	Chairperson LCI, Akuneroi Village, Benet sub-county
49	Aisha Chebet	Kween District	Chairperson LCI, Chenang Village, Benet sub-county
50	Justine Chepkurui	Kween District	Chairperson Fund Management Committee, Chenang Village, Benet sub-county
51	Sophie Kariuki	Kween District	Member, Fund Management Committee, Chenang Village, Benet sub-county
52	Patrick Chemutai	Kween District	General Secretary, Fund Management Committee, Chenang Village, Benet sub-county
53	Awardi Chemengai	Kapchorwa District	District Natural Resources Officer
54	Razia Yamusobo	Kapchorwa District	Community Development Officer, Kawowo Sub-County
55	Michael Chemusto	Kapchorwa District	Sub-county Chief, Kawowo Sub-County
56	Fred Satya	Kapchorwa District	Sub-county Chief, Kapchesombe Sub-County/East Division, Kapchorwa Municipality
57	Carolyn Chelengat	Kapchorwa District	Community Development Officer, Kapchesombe Sub-County/East Division, Kapchorwa Municipality
58	Philis Cherop	Kapchorwa District	Member, Environment Committee. Tulwo Village, Kween Parish, Kapchesombe Sub-County/East Division, Kapchorwa Municipality
59	Leonard Mangusho	Kapchorwa District	Member, Environment Committee. Tayiet Village, Kween Parish, Kapchesombe Sub-County/East Division, Kapchorwa Municipality
60	Steven Chemonges	Kapchorwa District	Member, Environment Committee. Totongen Village, Kween Parish, Kapchesombe Sub-County/East Division, Kapchorwa Municipality
61	Frederick Chesang	Kapchorwa District	Chairperson Project, Sanzara Parish, Kawowo Sub-

S.No.	Names	Organization	Title
			county
62	Partrick Soyekwo	Kapchorwa District	Community Monitor/farmer, Sanzara Parish, Kawowo Sub-county
63	Beatrice Cherotich	Kapchorwa District	Project Member, Sanzara Parish, Kawowo Sub-county
64	Chelimo Manash	Kapchorwa District	Agricultural Officer, Kawowo Sub-county
65	Anthony Wolimbwa	Bulambuli District	Lusha Sub-County/Eco-Development Foundation
66	Anna Chelengat	Kapchorwa District	Project Member, Sanzara Parish, Kawowo Sub-county

G.1: Stakeholders Consulted in the Nepal Mission – National Level

S.No.	Names	Country	Organization	Title
2	Vijaya P. Singh	Nepal	UNDP Nepal	Assistant Country Director - Energy, Environment, Climate Change & Disaster Risk Management Unit
3	Vijay Kesari	Nepal	UNDP Nepal	Programme Analyst, Energy, Environment, Climate Change & Disaster Risk Management Unit
4	Rubina Shakya Shrestha	Nepal	UNDP Nepal	Programme Assistant – Energy, Environment, Climate Change & Disaster Risk Management Unit
5	Sujeeta Bajracharya Shakya	Nepal	UNDP Nepal	Monitoring and Evaluation Analyst – Strategic Planning and Development Effectiveness Unit
6	Pragyajan Yalamber Rai	Nepal	Ministry of Finance - International Economic Cooperation Coordination Division	National Project Coordinator, GCP Readiness/Former NPC EBA Project, Nepal
7	Krishna Prasad Acharya	Nepal	Ministry of Forests and Soil Conservation	Director General Department of Forests
8	Prahlad Thapa	Nepal	IUCN	Country Representative
9	Anu Adhikari	Nepal	IUCN	Programme Officer – Climate Change, Gender and Social Inclusion
10	Arjun Dhakal	Nepal	SEEPORT	Managing Director
11	Madhuri Karki Thapa	Nepal	Ministry of Forests and Soil Conservation	Undersecretary/Planning Officer, Department of Forests
12	Pashupati Nath Koiraala	Nepal	Ministry of Forests and Soil Conservation	Under Secretary, Nepal Forest Service – Planning Division
13	Ichchha Thapa	Nepal	UNDP	Programme Assistant, Environment, Climate Change & Disaster Risk Management Unit
14	Dinesh Raj Bhuju	Nepal	Tribhuvan University	Technical Advisor, Central Department of Environmental Science. Adjunct Professor, Agriculture and Forestry University
15	Ram Hari Pantha	Nepal	Ministry of Population and Environment	Under Secretary, Climate Change Section
16	Purna Chandra Lal Rajbhandari	Nepal	UN Environment	Consultant

G.2: Stakeholders Consulted in the Nepal Mission – Regional and Panchase Region

S.N	Name of participant	Designation	Organization
1	Madhu Sudan Adhikari	Advisor and Organizer	Panchase Women Network and Chitre Homestay
2	Suk Bahadur Gurung	Member	Panchase Protected Forest, Parbat District Chapter
3	Sabina A. C.	Chairman	Panchase Women Network, Chitre
4	Yam Kumari Dhungana	Secretary	Panchase Women Network, Chitre
5	Sushila Devi Gurung	Member and Chairman	Panchase Protected Forest, Main Council and Chitre Homestay
6	Saraswati Bika	Member	Panchase Women Network, Chitre
7	Sita Bika	Member	Panchase Women Network, Chitre
8	Mithu Chettri	Member	Panchase Women Network, Chitre
9	Krishma Prasad Lamichhane	Member	Postman, Chitre
10	Sabina Bika	Member	Panchase Women Network, Chitre
11	Sumitra Nepali	Member	Panchase Women Network, Chitre
12	Bhai Kumari Nepali	Member	Panchase Women Network, Chitre
13	Diba Bika	Member	Panchase Women Network, Chitre
13	Tara Gurung	Chairman	Panchase Protected Forest, Parbat District Chapter
14	Jhanak Prasad Sharma	Secretary	Masine Chaur Community Forest
15	Dharya Bahadur K.C	Member	Masine Chaur Community Forest
16	Chandra Bahadur Nepali	Member	Masine Chaur Community Forest
17	Pashupati Nepali	Member	Falgu Community Forest
18	Hari Bahadur Darji	Member	Falgu Community Forest
19	Bishnu Nepali	Member	Falgu Community Forest
20	Sita Nepali	Member	Falgu Community Forest
21	Man Kala	Member	Falgu Community Forest

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ANNEX V: EVALUATION MATRIX

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
Strategic Relevance: **How does the project relate to the main objectives, outputs, outcomes, and to the needs, issues and challenges at the local, national, regional and international levels?**				
Relevance of the project to UN Environment's mandate and alignment to UN Environment policies, strategies and programmes. *Relevance to GEF and partners' focal areas, strategic priorities and operational programmes?* *Relevance of project to the countries' UNDAF*	• How is the project relevant to UN Environment's mandate and aligned to UN Environment's policies and strategies at the time of approval? • How is the project relevant to the objectives of GEF and partners (UNDP and IUCN)? • Does the project support other international environmental and climate change conventions? • How is the project aligned to the target countries (Nepal, Peru and Uganda) UNDAF at the time of design?	Nature and extent of link between expressed needs by UN Environment, GEF and partners and project objectives • at country level • across project intervention areas	• Key informant interviews • Documentary review	• Project documents • UN Environment, GEF, UNDP, IUCN documents and websites • UN Environment MTS, CC SP, and PoW at the time the project was designed. • UNDAF of Nepal, Peru and Uganda.
Relevance (alignment) of project to the Governments of Nepal, Peru and Uganda's environmental, sustainable development and climate change goals and objectives	• How does the project support the environmental, sustainable development and climate change objectives of Nepal, Peru and Uganda? • Is the project aligned with other donor or government projects and projects in the project areas and in which way? • Is the project country-driven? • What was the level of stakeholder participation in project design? • What is the level of stakeholder ownership in implementation? • Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation? • Are the implementation strategies appropriate (is the log-frame/TOC logical and complete)?	• Degree to which the project supports national environmental/development/climate change objectives of Nepal, Peru and Uganda • Degree of coherence between the project and national priorities, policies and strategies • Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities • Level of involvement of government officials and other partners in the project design process	• Key informant interviews • Documentary review	• Project documents • National policies and strategies of Nepal, Peru and Uganda • Key project partners (country UNDP, IUCN offices)

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
	• Is the project responsive to threats and opportunities that emerge during the course of implementation?			
Does the project *address the needs of target beneficiaries at the local levels?*	• How did the project support the climate change adaptation/EbA needs of relevant stakeholders at the local level? • Has the implementation of the project been inclusive of all relevant stakeholders? • Were local beneficiaries and stakeholders adequately involved in project design and implementation? • Does the project have buy-in and support from all stakeholder levels, i.e. has it met stakeholder expectations and how?	• Degree to which the project supports objectives of national and local governments, and communities regarding climate change adaption in mountain regions • Degree to which the project supports local needs and aspirations • Degree to which the project meets stakeholders' expectations	• Key informant interviews • Documentary review • Group discussions	• Project Documents • Planning documents of Nepal, Peru and Uganda • Local partners and beneficiaries
Relevant lessons and experiences for the project and other similar projects in the future	Has the experience of the project provided relevant lessons for the future of the project and other future projects targeted with similar objectives	Extent of lessons learned documentation	• Key informant interviews • Group discussions • Documentary review	• Project Documents • Local partners and beneficiaries
Attainment of objectives and planned results				
(a) Effectiveness **To what extent have the outputs and expected outcomes of the project been achieved?** *Outputs delivery (goods and services produced through project activities); Immediate Outcomes/results achievement (direct changes resulting from the use made by stakeholders of project outputs) Main Project Outcome achievement*				
Effectiveness of the project in achieving its intended purpose, outputs, and immediate outcomes *Extent to which the project contributes to the overall goal and main outcome*	• How has the project performed against its indicators and targets (given in the log-frame)? • What have been the key factors leading to project achievements? • To what extent can observed results be attributed to the project or not? • Has the project failed in any respect?	• Achievement of milestones and targets as laid out in the log-frame and monitoring plan • Extent of support from project partners, government/political staff • Extent to which government technical staff actively participated in the project • Evidence of early uptake of project	• Documentary review • Key informant interviews • Focus Group Discussions • Field visits to pilot sites	• Project documents/reports • Minutes of Project Coordination Units and Committees • Local partners and beneficiaries • Samples of project knowledge products being

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
	• Have there been notable changes in the enabling environment for the project? • Has the project been able to deliver EbA tools and methodologies for use in decision making and application at community level? • How has the project contributed to enhance the ability of decision makers in target countries to identify, plan and implement EbA strategies and measures at national and ecosystem level? • Has the project contributed to incorporation of EbA principles in national planning and development policy process in target countries? Has the project contributed to having an integrated ecosystem approach to enhance social and ecosystem resilience, including Biodiversity conservation? • How has the project contributed to incorporation of EbA cost-benefit analysis principles to inform public policy, finance processes and economic sectors in target countries? • What are the views of the various stakeholders on the achievements of the project? • How well has the project documented its achievements?	documentation and results within policy, planning, decisions making and practice.		disseminated
Lessons that can be drawn regarding effectiveness for the future of the project and other similar projects in the future	• What lessons have been learned from the project regarding achievement of outputs and outcomes • What changes can be made to the design of similar projects in order to improve the achievement of the expected results?	• Extent of lessons learned documentation • Evidence of early application of lessons learned	• Key informant interviews • Group Discussions • Document review	• Project reports • Local partners and beneficiaries
Management of risks and risk mitigation	• How well are risks, assumptions and impact drivers being managed? • What is the quality of risk mitigation strategies developed? Are these sufficient? • Are there clear strategies for risk mitigation related with	• Extent to which project responds to identified and emerging risks (particularly risks of low participation due to perceived needs for immediate action rather than planning) • Level of attention paid to up-dating risks	• Group Discussion/Focus Groups • Document review • Key informant interviews	• Project risk log • Project reports

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
	long-term sustainability of the project?	log		
(b) Likelihood of impact: Review of Outcomes to Impacts (ROtI) In light of achievements and limitations during the project implementation period, what is the likelihood of the project reaching intended impacts?				
Likelihood of impact relative to execution of design	• What is the extent to which the changes along causal pathways from outputs through outcomes to impacts happen as anticipated? • What was the accuracy of originally identified impact drivers? • What was the accuracy of originally identified assumptions?	• Evidence of changes from outputs through outcomes • Evidence of deviations from planned pathway; nature/type of the deviation, why deviations happened, results of this deviation (positive, negative, neutral)	• Documentary review • Key Informant interviews • Group Discussions	Project documents Project Partners
Planning impact	• To what extent has knowledge and appreciation of project intent improved? • What impact has the project had on policy and institutional frameworks relating to EbA, climate change adaptation, mountain ecosystem management, disaster preparedness, and climate change as a whole? • Is there a clear link between the planned interventions and the actions carried out under the project?	• Evidence of uptake of project/new knowledge and ideas • Extent to which government (national/local) planning supports project interventions, EbA approach.	• Documentary review • Key Informant interviews • Group Discussions	• Project reports • Minutes of Committee meetings • Discussions with Project Partners
On ground impact	• What impact has the project had so far or is likely to have on the Nepal, Peru and Uganda mountain population and communities (in terms of application of EbA and general adaptation to climate change)? • What impact has the project had so far or is likely to have on reducing the vulnerability of and increasing resilience of the Nepal, Peru and Uganda mountain ecosystems (provision of ecosystem services) and communities (including livelihoods improvement and income generation)? • Has the project had any impact on gender equality and economic empowerment for women and other	• Evidence of early uptake (replication) of the interventions • Level of satisfaction of project interventions (the demand for large-scale intervention) • Evidence of gender equity in selection and implementation of project activities • Disaggregated baseline data to understand characteristics and needs of different groups, and disaggregated by gender. • Evidence of using gender analysis in	• Document review • Key informant interviews • Group Discussions/Focus Groups	• Reports from stakeholders involved in project activities • Project reports • Local partners and beneficiaries • User groups (disaggregated focus groups by gender).

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
	marginalized groups? Was this impact intended? • How well has the project met the expectations of stakeholders/beneficiaries? • How well are project interventions on stakeholders/beneficiaries documented? What lessons are likely to be learnt and how will this inform policy processes.	development of communication strategy. • Disaggregated baseline data to understand characteristics and needs of different user groups, and disaggregated by gender. • Evidence of using gender analysis in development of communication strategy.		
Lessons that can be drawn regarding efficiency for the project and other similar projects in the future	• Has the project documented lessons learned? • What lessons have been learned from the project regarding likelihood of impact? • What changes can be made to the design of similar projects in order to improve the likelihood of impacts?	• Evidence of documentation	• Documentary review • Key informant interviews	• Project reports and technical documents • Local partners
Efficiency: **To what extent has the project been implemented in a cost-effective and timely manner?**				
Cost-effectiveness and financial efficiency	• Were the accounting and financial systems in place adequate for project management and for producing accurate and timely financial information? • Were funds made available or transferred efficiently to address the project purpose, outputs and planned activities? • Were funds used correctly – (explain any over- or under-expenditures)? • Were financial resources utilized efficiently (converted into outcomes)? Could financial resources have been or be used more efficiently? • Were procurements carried out in a manner making efficient use of project resources? • Were project audits conducted? Were issues raised in audit reports efficiently addressed? • Was the project implementation as cost effective as	• Extent to which funds were converted into outcomes as per the expectations of the Project proposal • Level of transparency in the use of funds • Level of satisfaction of partners and beneficiaries in the use of funds	• Documentary review • Key informant interviews	• Project financial records • Discussions with FMO (UN Environment) and Finance Officers • Project audit reports • Project work plans and reports

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
	originally proposed (planned vs. actual) • Did the leveraging of funds (co-financing) happen as planned?			
Implementing efficiency (including monitoring)	• Were the project logical framework and work plans (and any changes made to them) used as management tools during implementation? • Was the project implemented as planned, including the proportion of activities in work plans implemented? • Was monitoring data collected as planned, analysed and used to inform project planning? • Was project implementation responsive to issues arising (e.g. from monitoring or from interactions with stakeholders)? • What learning processes were put in place and who has benefited (e.g. training, exchanges with related projects) and how did this influence project outcomes? • Were progress reports produced accurately, timely and responded to, including adaptive management changes? • Did the project experience any capacity gaps (e.g. staffing gaps)? • Were internal and external communications effective and efficient? • How efficiently have resources and back-up been provided by donors, including quality assurance	• Extent to which project activities were conducted on time • Extent to which project delivery matches the expectation of the proposal and the expectations of partners • Level of satisfaction expressed by partners in the responsiveness (adaptive management) of the project • Level of satisfaction expressed by project implementing agency and in regard to technical back-stopping	• Key informant interviews • Group Discussions/Focus group • Document review	• Project work plans and reports • Local partners

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
Efficiency of partnership arrangements for the project	• To what extent were partnerships/ linkages between institutions/ organizations encouraged and supported? • Which partnerships/linkages were facilitated? Which ones can be considered sustainable? • What was the level of efficiency of cooperation and collaboration arrangements? • Which methods were successful or not and why?	• Extent to which project partners committed time and resources to the project • Extent of commitment of partners to take over project activities	• Key informant interviews • Group Discussions/Focus group • Document review	• Project work plans and reports • Local partners
Lessons that can be drawn regarding efficiency for the project and other similar projects in the future	• What lessons can be learnt from the project regarding efficiency? • How can/could the project have been more efficiently implemented (in terms of management structures and procedures, partnerships arrangements etc.)? • What changes can/could have been made (if any) to the project in order to improve its efficiency?	• Level of satisfaction in project implementation arrangements • Suggestions put forward by partners for possible improvement	• Key informant interviews • Group Discussions/Focus group • Document review	• Project reports • Local partners
Sustainability and Replication: **To what extent is there persistence of benefits resulting from the implementation of project activities? Including (possibilities of) replication, up-scale and catalytic effects?**				
Enabling environment	• Is the social, legal and political environment conducive to enhance sustainability? • Are there signs of activities being taken up by project partners, and plans being developed to sustain them?	• Evidence to which planning supports project interventions • Evidence of discussion or revision of policies and plans to include project targets • Extent to which in-coming government programmes and projects in target countries are in line with and provide support to project targets	• Documentary review • Key Informant interviews • Group Discussions/Focus Groups	• Minutes of Committee meetings • Local partners and beneficiaries
Project sustainability measures	• What project sustainability measures (social, environmental, institutional, economical) exist?	• Extent to which local technical staff and stakeholders are applying new ideas outside of	• Documentary review • Key Informant	• Project reports • Local partners and

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
	• What factors are likely to negatively affect project sustainability? • What are the key constraints to sustainability of project interventions? • Have partners and stakeholders successfully enhanced their capacities and do they have the required resources to make use of these capacities? • Does the project have a clear exit strategy or transformational strategy to another phase?	the immediate project context • Extent to which other local stakeholders are liaising with the project for information sharing	interviews • Group Discussions/Focus Groups	beneficiaries
Factors Affecting performance: **What factors have facilitated or constrained the performance of the project to achieve its intended outcome and impact?**				
Project Design and Structure	• Was the design and structure of project activities conducive to the achievement of the objectives and outcomes?	• Quality of causal logic linking project outputs and outcomes • Number and quality of impact drivers, assumptions and risks identified • Sufficiency of resources set aside for project implementation • Extent and quality of planned activities related to communication and knowledge management • Incorporation of gender into outcomes and design elements	• Documentary review • Key informant interviews • Group discussions	• Project Documents • Project reports • Minutes of Steering Committee meetings • Partners and beneficiaries
Project Coordination and Management	Have the project coordination and management arrangements been conducive to the achievement of its objectives?	• Level of clarity of roles and responsibilities of different project partners and staff • Nature and relative weight of factors within or between project partners that enabled/inhibited project implementation • Quality of supervision/oversight by the project coordination unit • Perceptions on the quality of UN Environment, UNDP and IUCN project supervision, guidance and technical backstopping provided	• Documentary review • Key informant interviews • Group discussions	• Project Documents • Project reports • Minutes of Committee meetings • Partners and beneficiaries

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
Human and Financial Resources Administration	Did the project have sufficient and appropriate human and financial resources available for planning and implementation of the project activities To what extent did the project ensure cost-effectiveness of its interventions?	• Evidence of gaps in competencies or profile of persons required to execute specific project activities • Project staff turn-over rate and level of satisfaction with work: • Difference between allocated funds and expenditure by intervention • Financial management systems and processes at HQ, UNDP and IUCN and field: quality, transparency and effectiveness • Perceptions on administrative processes in terms of enabling execution of project activities	• Documentary review • Key informant interviews • Group discussions	• Project reports • Minutes of Committee meetings • Partners and beneficiaries
Stakeholder involvement	• Did the project involve the relevant stakeholders through information sharing and consultation and by seeking their participation in project design, implementation and M&E? • Did the project implement appropriate outreach and public awareness campaigns? • 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 academic institutions in the design, implementation, and evaluation of project activities? • Were the perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process taken into account while taking decisions(including relevant vulnerable groups and powerful supporters and opponents)?	• Number, fluency, type, and quality of stakeholder engagement at each stage of project design, implementation and M&E • Changes in public awareness as a result of outreach/ communication by project • Quality of consultations/feedback mechanisms/ meetings/ systems in place for project implementers to learn the opinions of - Community groups - Local government - National government - Non-government groups - Others • Extent of beneficiary needs integrated into project design (appropriateness of strategies chosen, site selection, degree of vulnerability of targeted groups, etc.) • Evidence of participation from a wide range of stakeholder groups (in support and opposed to the project)	• Documentary review • Key informant interviews • Group discussions	• Project reports • Local implementing partners • Community members, groups • Government stakeholders • Other local stakeholder groups (non-government) • UNDP/IUCN/UN Environment staff • Workshop reports/attendance

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
Communication and outreach	• Did the project develop communication tools, channels and networks during implementation? • Did the communication tools take into consideration different audiences? Were the tools disaggregated for the main stakeholder groups and by gender? • How effective were public awareness activities undertaken during project implementation to communicate the project's objective, progress, outcomes and lessons? • Did the project identify and make use of existing communication channels and networks used by key stakeholders? • Did the project provide channels for stakeholders' feedback? • Are plans in place for dissemination of results and lesson sharing?	• Existence of a communication and outreach strategy • Evidence of stakeholders understanding of the information disseminated (projects components but mainly the EbA conceptual framework and goals – CC concepts/ EbA methodology / ecosystem resilience and required care). • Evidence of communication materials produced by the project • Evidence of communication channels and networks developed by the project. • Evidence of use of existing communication channels to disseminate project results and outcomes and for receiving stakeholders' feedback. • Existence of plans and mechanisms to continue dissemination and sharing of lessons learned	• Documentary review • Key informant interviews • Group discussions	• Project reports // Meeting Minutes • Local implementing partners • Community members, groups • Government stakeholders • Other local stakeholder groups (non-government) • Partners websites • UNDP/IUCN/UN Environment staff
Partnerships and collaborations	Did the project build effective partnerships and collaborations?	• Number and types of partners (internal and external) identified and involved in project implementation • Perceptions on level of collaboration between project stakeholders and partners • Relative level of complementarity between the project and other related projects (internal and external) • Extent of joint activities and pooling of resources with other organizations and networks	• Documentary review • Key informant interviews • Group discussions	• Project reports • Minutes of Committee meetings • Partners and beneficiaries

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
Country ownership and drivenness	Was the project concept in line with development priorities and plans of Nepal, Peru and Uganda? Were the relevant country representatives from government (national and local) and civil society involved in project implementation, including being part of the Project Steering Committee? Is there a functional intra-governmental committee to liaise with the project team and connect various ministries/government offices involved in or affected by the project?	• Coherence between project objectives and national development objectives • Coherence between project objectives and community-level needs • Number and titles of representatives from government and civil society present at workshops, planning meetings • Proportion of steering committee members who represent government and civil society • Existence of a communications or coordination body within the government to oversee and link various government offices relevant to project planning, implementation and intended outcomes • Extent of influence and control of coordinating body to prompt/encourage convening or decision-making	• Documentary review • Key informant interviews • Group discussions	• Nepal, Peru and Uganda strategy and planning documents • Project reports • Partners • UNDP/IUCN/UN Environment staff • Community members • NGOs and local non-government stakeholders • Government partners • Local implementing partners • Project monitoring and reporting information (workshop summaries, attendance lists, action items etc)
Project monitoring and evaluation	Were there appropriate and effective arrangements for reporting, monitoring and evaluating the project?	• Quality (and volume) of reporting on the project: on outputs, outcomes, impact, and regularity of reporting • Number and types of quality assurance processes to ensure reliability of reporting and accuracy of reporting • Perceptions of project monitoring and internal review systems • Clarity of roles and responsibilities among involved staff for data collection, data analysis, and information sharing, monitoring and reporting • Resources available for monitoring, reporting and evaluation • Performance indicators accurately capture achievements of project outputs and outcomes. • Tools, systems and structures in place for use in monitoring and reporting, adaptive management and to improve project performance • Proportion and evidence of independent	• Documentary review • Key informant interviews • Group discussions	• Project reports • Minutes of Committee meetings • Partners and beneficiaries

Evaluation criteria	Evaluation Questions	Indicators	Data Collection and Analysis Method	Information Sources
		evaluation • Difference between resources required for independent evaluations and amount available.		

ANNEX VI: COMPLETED MATRIX OF THE OVERALL QUALITY OF PROJECT DESIGN

	Project preparation and readiness		Evaluation Comments	ProDoc Reference	Rating
1	Does the project document provide a description of stakeholder consultation during project design process?		There is no evidence of stakeholder consultation during project design at the global level. However, the ProDocs indicate that stakeholders will be engaged at three geographical levels, namely; the local, national and global levels as policy makers, scientists and society. The ProDocs also indicate that stakeholder consultations will be conducted at pilot sites with local communities, land holders and regional and local authorities. For in country projects (Country ProDocs for Nepal, Peru and Uganda, there is evidence that stakeholders were consulted during project design	ICI Proposal Section 4.3.4; Revised ProDoc pp 23-25	MU
2	Does the project document include a clear stakeholder analysis? Are stakeholder needs and priorities clearly understood and integrated in project design? (see Annex 9)		The initial proposal (ICI proposal) does not include a stakeholder mapping and analysis. However, the revised UN Environment ProDoc describes the potential roles and responsibilities of UN Environment, UNDP and IUCN. In addition, stakeholders in target countries are identified as national and regional/local governments, NGOs and communities; and the roles and responsibilities of national and local governments are mapped. On the other hand, the individual Country ProDocs clearly spell out the roles and responsibilities of stakeholders.	UN Environment Revised ProDoc pp 23-25;	MS
3	Does the project document entail a clear situation analysis?		The ProDocs (ICI proposal and revised UN Environment ProDoc) entail a situational analysis – the vulnerability of mountain ecosystems and communities in the three target countries, and the efforts made so far to addressing climate change impacts and challenges faced are analysed	ICI Proposal section 4.1.1; UN Environment ProDoc Section 5.	S
4	Does the project document entail a clear problem analysis?		Although the ProDoc do not have a dedicated section on "problem analysis' the situational analysis in a way indicates the problem that the project is set to address – high vulnerability of ecosystems and communities in mountain areas and inadequate capacity at community, local and national levels to build resilience.		MS
5	Does the project document entail a clear gender analysis?		The UN Environment revised ProDoc includes a section on gender analysis. The project was designed taking into account role of women in climate change adaptation and that gender disaggregated data would inform EbA scenario planning and demonstration activities	UN Environment Revised ProDoc pp 29	S
	Overall rating for project preparedness and readiness		***Though the project identifies and maps key stakeholders, there is no evidence of stakeholder consultation at project design. The project design entails a situational analysis and a gender analysis but a problem analysis is not explicit.***		***MS***
	Relevance		**Evaluation Comments**	**ProDoc reference**	**Rating**
6	Is the project document clear in terms of relevance to:	i) Global, Regional, Sub-regional and National environmental issues and needs?	Environmental (ecosystem) degradation and climate change are challenges for human development at the global, regional, national and local levels. While mountain ecosystems are particularly important to climate change adaptation due to their integral role in hydrological cycles, they are also highly vulnerable to the impacts of climate change – melting of glaciers causing flooding and landslides that cause fatalities and in addition mountain communities also face droughts. In addition, mountain regions are also facing ecological degradations - they are susceptible to soil erosion, landslides as well as rapid loss of habitat, species and genetic diversity. The Himalayas in Nepal, Andes in Peru and Elgon in Uganda are transboundary	ICI Proposal 3.1 and 4.1.1; UN Environment revised ProDoc Pp 8, 15-16.	HS

			ecosystems facing environmental degradation but at the same time they are threatened by the impacts of climate change in countries that lack adaptive capacity. Thus, EbA is crucial to enhance the health of mountain ecosystems so as to increase their resilience to climate change impacts and further to ensure the provision of essential ecosystem services. Moreover, EbA has the additional benefit of achieving climate change mitigation objectives as well, through improved carbon sequestration.		
7		ii) UN Environment mandate	Though not explicitly mentioned in the initial ICI project proposal, the project is framed in line within UN Environment's mandate and policies (MTS 2010-2013). It consistent with UN Environment's mandate on climate change (adaptation), which was established at the 22nd session of UN Environment's Governing Council (2003). UN Environment's niche in climate change adaptation in the UN system has been defined as *adapting by building resilience of ecosystems and economies.*		HS
8		iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	Though the project is not funded by GEF, it is framed in GEF Portfolio for Climate Change. The project takes into account overall GEF conformity - sustainability, replicability, M&E, stakeholder involvement.	GEF website UN Environment revised ProDoc pp 9.	S
9		iv) Stakeholder priorities and needs?	Both the ICI Proposal and UN Environment revised ProDoc contains a stakeholder mapping exercise that describes mandates and potential roles of the main stakeholders – UN Environment, UNDP and IUCN – as well as national institutions and stakeholders in Nepal, Peru and Uganda. Both ProDocs and country ProDocs outline a stakeholder involvement plan. The need to address vulnerability of mountain ecosystems and communities to climate change is identified as a priority by the national governments of Nepal, Peru and Uganda. The project is expected to improve the resilience and livelihoods (of communities in the mountain regions thereby contributing to the target countries sustainable development efforts.	ICI Proposal section 4.1.2 and 5.2; UN Environment revised ProDoc pp 23-27.	S
10	Is the project document clear in terms of relevance to cross-cutting issues	i) Gender equity	The project was designed taking into account role gender and especially the role women in climate change adaptation. The collection of gender disaggregated data and involvement of both men and women in planning and demonstration activities promotes gender equity.	UN Environment Revised ProDoc pp 29	S
11		ii) South-South Cooperation	Though the ProDocs do not explicitly mention south-south cooperation, the design of the project for implementation in south countries – Nepal, Peru and Uganda promotes south-south cooperation as it creates a network of countries working together on EbA that enhances sharing of knowledge, lessons learned and best practices. The project is implemented by UN Environment, UNDP and IUNCN which have experiences working in south and promoting south-south cooperation.		HS
12		iii) Bali Strategic Plan	Though not explicitly mentioned in the ProDocs, the EbA project focuses on reduce the vulnerability of mountain ecosystem and communities to climate change. This is highly relevant to and consistent with the Bali Strategic Plan for Technological Support and Capacity Building which aims at a more coherent, coordinated and effective delivery of capacity building and technical support at all levels and by all actors, in response to country priorities and needs.		HS
	Overall rating for relevance		***The project design is closely aligned with global, regional and national environmental (and climate change adaptation) issues and needs and to UN Environment's mandate and strategies. The project***		***HS***

		is also aligned to key stakeholder priorities and needs in respect to climate change adaptation. The issues to be addressed are explicitly stated in the ProDoc and the project builds on partners existing programmes and expertise and supports the local institutions responsible for the subject.		
	Intended Results and Causality	**Evaluation Comments**	**ProDoc reference**	**Rating**
13	Are the outcomes realistic?	The project intent to strengthen the capacity of countries vulnerable to climate change impacts to build ecosystem resilience for promoting EbA options is realistic with in the time frame and budget. However, the impact of reducing vulnerability requires much more than strengthening capacity of countries. In addition, it requires a much longer timeframe and is contingent on a number of conditions many of which are not within the control of the project and its partners. In addition, reduced vulnerability is not a static condition because climate change is a dynamic phenomenon associated with many uncertainties.		S
14	Is there a clearly presented Theory of Change or intervention logic for the project?	The revised UN Environment ProDoc presents a Theory of Change (TOC) and Logframe for the project. The initial ICI proposal does not present a TOC and Logframe.	UN Environment revised ProDoc pp 38-41	MS
15	Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described?	The causal pathways and intervention logic are well described. The project objective is based on the premise that: enhanced capacity for implementing and scaling up EbA will reduce vulnerability of ecosystems and communities in mountain regions in the target countries. An important aspect of the project is also to bridge science to policy and sensitize various national policy making bodies to main EbA and climate change adaptation in relevant policies and plans. In the TOC, the causal pathways from outputs to outcome are fairly well stated, but the immediate outcomes are not stated. The intermediate states towards impact are not well stated.	UN Environment revised ProDoc pp 38-39	MS
16	Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	The timeframe for the initial four components in the ICI proposal – 4 years is realistic. However, this does not take into account unforeseen events that would delay implementation. A fifth component was added on which among other stretched project implementation to six years. In addition, some interventions that would reduce vulnerability and build resilience adaptation require a longer timeframe to have any discernible impacts and to generate results for replication.	ICI Proposal Section 1.1: UN Environment revised ProDoc pp. 5-6, 18	S
17	Are activities appropriate to produce outputs?	Each project component has clear course of action and activities designed (with actors to implement the activities) produce outputs.	ICI Proposal Section 4.2.1; UN Environment Revised ProDoc 20-23	HS
18	Are activities appropriate to drive change along the intended causal pathway(s)?	The planned activities are appropriate to drive change along the intended causal pathways.	ICI Proposal Section 4.2.1; UN Environment Revised ProDoc 20-23	HS
19	Are impact drivers and assumptions clearly described for each key causal pathway?	The TOC in the revised ProDoc attempts to identify drivers and assumptions but and some drivers are referred to as assumptions and vice versa.	UN Environment revised ProDoc pp 38-39	MU
20	Are the roles of key actors and stakeholders clearly described for	While a stakeholder analysis and mapping was done and roles are spelt out, the roles and responsibility are not described for each	UN Environment revised ProDoc	U

	each key causal pathway?	casual pathway.	pp 38-39	
21	Is the ToC at design and/or logical framework terminology (*result levels, drivers, assumptions etc.*) consistent with UN Environment definitions (*Programme Manual*)	The ToC and logical framework terminology are consistent with UN Environment definitions		S
	Overall rating for intended result and causality	***Strengthening capacity of countries to reduce vulnerability through EbA is realistic. The Project design defines the objectives, the results and outputs - activities expected. The design considers the important elements to reduce vulnerability nevertheless. The Logical Framework has weaknesses as it only defines performance indicators but the base line is not explicitly expressed and targets are not defined.***		***MS***
	Efficiency	**Evaluation Comments**	**ProDoc reference**	**Rating**
22	Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes. The project is a partnership effort of UN Environment, IUCN and UNDP that recognises complementarities of partners and is built in existing programmes and activities in the UN Environment, UNDP and IUCN. The project foresees strong partnerships with different stakeholders at global and national level in order to maximise human resources, infrastructures and equipment. For instance, the project is built on the UN Environment EbA flagship programme and the IUCN/UNDP past and ongoing EbA programmes in Nepal, Peru and Uganda. In addition, the project relates to the UNDAF in target countries.	UN Environment revised ProDoc pp 9-12; ICI proposal section 1.2.2; 5.2.	HS
	Overall rating for efficiency	***The project is built on existing programmes in UN Environment, UNDP, and IUCN and is closely linked with existing institutions in Uganda, Nepal and Peru. Full funding is provided by the German Government (BMUB) for the entire period, and UN Environment provides some in-kind co-financing.***		***HS***
	Sustainability / Replication and Catalytic effects	**Evaluation Comments**	**ProDoc reference**	**Rating**
23	Does the project design present a strategy / approach to sustaining outcomes / benefits?	Yes. Capacity Building, integration of results into planning, use of a participatory approach, inter-institutional cooperation and involvement of national institutions (government) in Nepal, Peru and Uganda are considered crucial elements of sustainability. The project has strong government support in target countries as well as buy-in at the Local and community levels in the three countries which can increase absorption of EbA capacity in medium and long term. However, the ProDoc does not discuss in details the different aspects of sustainability (institutional, political and financial).	ICI proposal section 4.3.4; 5.1. UN Environment revised ProDoc pp 30.	S
24	Does the design identify social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?	The project addresses key national development priorities of the target countries – Nepal, Peru and Uganda. In Nepal the project is built in the NAPA, ecosystem based approach and the created Climate Change Council will positively influence project implementation. In Peru, the existence of National Climate Change Strategy will serve to sustain project results. In Uganda, the project builds on the countries NAPA and the National Climate Change Policy. In addition, the project has a strong capacity focus on developing EbA tools and methodologies and piloting them as well as training and awareness raising activities among government bodies and stakeholders as well as broad stakeholder participation and consultation. The project also underlines the need of effective communication and knowledge management in which lessons	ICI proposal section 5.1; UN Environment revised ProDoc pp 30.	S

		learned and best practices can be shared. In addition the project design encourages NGOs and other partners to associate with the various project outcomes and especially the on-the-ground action so that the project activities can be continued beyond the period of support.		
25	Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	The project activities foresee piloting EbA and integrate EbA approaches into national policy and planning processes which will ensure continuous implementation. The EbA tools and methodologies and business case (cost co-efficient) if successful will raise interest in EbA and assist in monitoring is implementation.		S
26	If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	The project is fully (adequately) funded by the German government (BMUB). Where additional funding was required it was provided by BMUB for project extension till completion	ICI Proposal section 1.1; UN Environment revised ProDoc pp 18, 27.	HS
27	Are financial risks adequately identified and does the project describe a clear strategy on how to mitigate the risks (in terms of project's sustainability)	Though the project has a risk log, financial risks are not identified in the ProDoc. But given that the project has secured full funding from BMUB, financial risks are low. On the other hand, sustainability is highly dependent on linkage with other programmes and initiatives, replication and up-scaling, and uptake in policies, etc., all of which imply availability of funds. The project also aims to build EbA capacity, piloting and implementation of EbA, including financial interventions. Though not mentioned in the ProDocs, there are certain financial risks associated with these approaches.	ICI Proposal Section 4.2.3; UN Environment revised ProDoc page 36-37	MS
28	Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	Yes. The ProDocs describes the institutional frameworks for project implementation. The roles of partners in decision making is clear with UN Environment providing overall global coordination in close collaboration with UNDP and IUCN while UNDP and IUCN responsible for country implementation. The project implementation structure with an organisation flowchart is presented in the UN Environment ProDoc, and is simple and clear. Linkage with national institutions and other agencies and institutions is described, as a strategy to sustain project results. A global steering with representation from the three partners is provided for in the ProDocs to supervise and provide guidance to project implementation. National steering committees in countries are provided for to oversee national implementation.	ICI Proposal Section 1.2.2; UN Environment revised ProDoc pp 33-35.	S
29	Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	The project design does not explicitly identify these environmental factors but there is recognition that climate change impacts are already affecting mountain regions. In addition, climate change could have severe and large scale impacts that could wipe out project benefits.		MS
30	Does the project design foresee adequate measures to promote replication and up-scaling / does the project have a clear strategy to promote replication and up-scaling?	The project includes EbA pilot demonstration and experimental learning as well as implementation of EbA technologies with the involvement of local communities and organizations. Increased use of EbA technologies and dissemination of EbA lesson learned is expected to lead to positive attitude towards adoption and replication of EbA approaches among stakeholders and communities	ICI proposal sections 4.3.4 and 4.3.5. UN Environment revised ProDoc	HS

		in the target regions. The project involves generating costs and benefits of EbA in mountain areas which will support decision making on EbA. The project design foresees using global and regional networks (GAN and ELAN) to disseminate lessons learned through experimental learning. The project has high multiplier and catalytic effects as it forms a basis for future EbA work in other vulnerable ecosystems.	pp 31-32.	
31	Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	Yes. There is a deliberate attempt to align the project to target countries' priorities, strategies and needs which increases chance of ownership. The main focus of the project is strengthening capacity of countries to use EbA and incorporating EbA in national development policy and planning will lead to national ownership of EbA. The use of experimental learning and piloting of EbA interventions will raise awareness raising and sharing of lessons learned can catalyse institutional uptake. Overall involvement of national, local and community stakeholders in project activities is most likely generate national and local ownership.	ICI proposal section 5.1	S
	Overall rating for Sustainability / Replication and Catalytic effects	***The project design points out important provisions for the future sustainability of project at national, local and community levels Incorporation of EbA in planning and policy making and dissemination of lessons learned increase the sustainability and replicability of project results. The linkages with other planned and on-going initiatives and key national and local institutions is catalytic to replication.***		***S***
	Learning, Communication and outreach	**Evaluation Comments**	**ProDoc reference**	**Rating**
32	Has the project identified appropriate methods for communication with key stakeholders during the project life?	The project design has a public awareness and communications strategy which is meant to enhance communication among stakeholders through electronic and printed media, publication and outreach materials websites/portals like GAN, REGATTA, and partner websites.	UN Environment revised ProDoc pp. 22	S
33	Are plans in place for dissemination of results and lesson sharing.	Component 5 of the project is dedicated to developing a learning and knowledge management framework that is intended, among others, to enhance documentation and dissemination project products and lessons learned among stakeholders and the wider public.	UN Environment revised ProDoc pp 22-23;	HS
34	Do learning, communication and outreach plans build on analysis of existing communication channels and networks used by key stakeholders ?	The learning, communication and outreach clearly builds on existing channels and networks like partner websites and portals – GAN, REGATTA, UN Environment, AAKNet, EbA flagship portal	UN Environment revised ProDoc pp 22-23;	HS
	Overall rating for learning communication and outreach	***A project has a public awareness and communication strategy and a component on learning and knowledge management. These can facilitate learning and communication.***		***HS***
	Risk identification and Social Safeguards	**Evaluation Comments**	**ProDoc reference**	**Rating**
35	Are all assumptions identified in the ToC and/or logical framework presented as risks in the risk management table? Are risks appropriately identified in both, ToC and the risk table?	There is a divergence between risks in the risk log and the assumption in the TOC	ICI proposal section 4.2.3: UN Environment revised ProDoc pp 36-37, 39	MU
36	Is the risk management strategy	A detailed risks analysis is included in the ProDoc. Critical risks are	ICI proposal section 4.2.3: UN	HS

	appropriate?	identified and mitigation measures are identified accordingly.	Environment revised ProDoc pp 36-37	
37	Are potentially negative environmental, economic and social impacts of projects identified?	Overall, potentially negative environmental, economic and social impacts are not identified because the project is not expected to have negative impacts.		MU
38	Does the project have adequate mechanisms to reduce its negative environmental foot-print?	Though not explicitly mentioned in ProDocs, the EbA project is not expected to have negative environmental foot print because it will increase carbon sequestration.		MS
39	Have risks and assumptions been discussed with key stakeholders?	No evidence that these were discussed with stakeholders		MU
	Overall rating for risk identification and social safeguards	***The project design includes a detailed risk analysis and identifies mitigation measures but economic and social risks are not identified.***		***MS***
	Governance and Supervision Arrangements	**Evaluation Comments**	**ProDoc reference**	**Rating**
40	Is the project governance model comprehensive, clear and appropriate? (*Steering Committee, partner consultations etc.*)	The governance model is clearly described and appropriate for a project of this nature. The project provides for a global steering committee and national steering committees.	ICI proposal section 1.2.2; UN Environment revised ProDoc pp 33-36	HS
41	Are supervision / oversight arrangements clear and appropriate?	The supervision and oversight arrangements to be provided by steering committees, UN Environment and its partners -UNDP and IUCN - is clear and appropriate.	ICI proposal section 1.2.2; UN Environment revised ProDoc pp 33-36	HS
	Overall rating for governance and supervision arrangement	***The governance and supervision arrangements are considered adequate***		***HS***
	Management, Execution and Partnership Arrangements	**Evaluation Comments**	**ProDoc reference**	**Rating**
42	Have the capacities of partners been adequately assessed?	The capacities and comparative advantage of partners (UN Environment, UNDP and IUCN) are adequately assessed to deliver different components.	ICI Proposal section 1.2.2. UN Environment revised ProDoc pp 10-12.	HS
43	Are the execution arrangements clear and are roles and responsibilities within UN Environment clearly defined?	The execution arrangements with UN Environment are clear – Ecosystems Division provides overall/global coordination role.	UN Environment ProDoc pp 33	HS
44	Are the roles and responsibilities of external partners properly specified?	The roles and responsibilities are assessed in the stakeholder mapping/analysis	UN Environment revised ProDoc pp 22-27; ICI Proposal section 1.2.2.	S
	Overall rating for Management, Execution and Partnership Arrangements	***The management, execution and partnership arrangements described are satisfactory, taking into account all levels from global to local, which is appropriate for a project of this nature.***		***HS***
	Financial Planning / budgeting	**Evaluation Comments**	**ProDoc reference**	**Rating**

45	Are there any obvious deficiencies in the budgets / financial planning? (*coherence of the budget, do figures add up etc.*)		No specific deficiencies in financial planning were identified. The budget is detailed and clear.	Appendix 1	HS
46	Has budget been reviewed and agreed to be realistic with key project stakeholders?		Additional funding from BMUB of €1.5 million was provided	UN Environment ProDoc pp 27	S
47	Is the resource utilization cost effective?		Proposed resource utilization is cost-effective built within UN Environment, UNDP and IUCN financial systems	UN Environment ProDoc pp 27	S
48	How realistic is the resource mobilization strategy?		Proposed resource utilization satisfactory with full funding from BMU	ICI Proposal section 1.1; UN Environment ProDoc pp 27	S
49	Are the financial and administrative arrangements including flows of funds clearly described?		Financial and administrative arrangements and flow of funds are described in the ProDocs. Flow of funds is from UN Environment to partners UNDP and IUCN and is aligned to project components		S
	Overall rating for financial planning/budgeting		***An adequate financing plan and detailed instructions for financial reporting and budgeting are presented.***		***S***
	Monitoring		**Evaluation Comments**	**ProDoc reference**	**Rating**
50	Does the logical framework	• capture the key elements of the Theory of Change/ intervention logic for the project?	In general, the log frame captures the key elements in the project's TOC but does not clearly indicate how these are expected to ultimately result in enhanced adaptive capacity. However, the logframe does not state the assumptions captured in the TOC	UN Environment ProDoc pp 38-44	S
51		• have 'SMART' indicators for outcomes and objectives?	SMART indicators for the expected outcome as end-of-project targets are captured	UN Environment ProDoc pp 38-44	S
52		• have appropriate 'means of verification'?	Means of verification are captured	UN Environment ProDoc pp 38-44	S
53	Are the milestones appropriate and sufficient to track progress and foster management towards outputs and outcomes?		The Logical Framework has weaknesses as it only defines performance indicators but the milestones and targets are not clearly defined.	UN Environment ProDoc pp 38-44	MS
54	Is there baseline information in relation to key performance indicators?		The baseline is not explicitly expressed	UN Environment ProDoc pp 38-44	MU
55	How well has the method for the baseline data collection been explained?		No explanation is given for the method of collecting baseline data.	UN Environment ProDoc pp 38-44	MU
56	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		The end targets are identified in the logframe. No mid-point targets.	UN Environment ProDoc pp 38-44	S
57	How well are the performance targets justified for outputs and outcomes?		The time frame for progress reporting and monitoring is specified	UN Environment ProDoc pp 38-44	S
58	Has a budget been allocated for monitoring project progress in implementation against outputs and		The Project Budget contains a Budget Line for M&E.	UN Environment ProDoc pp 38-44	

	outcomes?			
59	Does the project have a clear knowledge management approach?	Not clearly expressed	UN Environment ProDoc pp 38-44	MU
60	Have mechanisms for involving key project stakeholder groups in monitoring activities been clearly articulated?	Not clearly expressed	UN Environment ProDoc pp 38-44	MU
	Overall rating for monitoring	***There are some weaknesses in the log frame and monitoring design.***		***MS***
	Evaluation	**Evaluation Comments**	**ProDoc reference**	**Rating**
61	Is there an adequate plan for evaluation?	An independent terminal evaluation is provided for in the ProDoc. Mid-term evaluation is not provide for	UN Environment revised ProDoc pp 43.	MS
62	Has the time frame for evaluation activities been specified?	The time frame for evaluation is provided for in the ProDoc	UN Environment revised ProDoc pp 43.	S
63	Is there an explicit budget provision for mid-term review and terminal evaluation?	Mid-term evaluation is not provided for.	UN Environment revised ProDoc pp 43.	MU
64	Is the budget sufficient?	Budget for evaluation is sufficient	Project Budget	S
	Overall rating for evaluation	***There are provisions for a terminal evaluation but a mid-term evaluation is provided for. The budget for terminal evaluation is considered insufficient.***		***MS***

ANNEX VII: NEPAL - SUMMARY OF EVALUATION FINDINGS AT COUNTRY LEVEL

Introduction

In Nepal, the EbA for Mountain Ecosystems Project was implemented by the UNEP, UNDP and IUCN from 2012 to 2016 (four years). The project implementation was in collaboration with the Government of Nepal (GoN), with the Ministry of Forests and Soil Conservation (Department of Forests) as a lead implementation agency, which worked, in close collaboration with UNDP and IUCN, as well as the Western Regional Forest Directorate (WRFD) and the District Development Committees (DDCs) of Kaski, Parbat and Syangja Districts.

The project sites were the Panchase region of Uganda, which the GoN considered a climate change hot spot due to occurrence of climate related hazards and disasters more especially floods, landslides and soil erosion, as well as the high ecosystem degradation in the region. The project was also responding to Nepal's National Adaptation Programmes of Action (NAPA), which identified the Panchase as highly vulnerable to climate change and that some of the ways of reducing the vulnerability was through building ecosystem resilience.

The goal of the project was to strengthen Nepal's capacity to apply EbA for building ecosystem resilience and reducing the vulnerability of communities in the Panchase to climate change. The project had five components (1) development of methodologies and tools for EbA decision making in mountain ecosystems; (2) application of methodologies and tools at ecosystem level; (3) implementation of EbA pilots at ecosystem level; (4) development of business case for EbA at the national level and (5) development of a learning and knowledge management framework. UNEP led implementation of components 1, 2 and 5, UNDP and IUCN implemented component 3, and UNDP also implemented component 4.

Summary of Evaluation criteria, assessment and ratings for Nepal

Criterion	Summary Assessment	Ref.	Rating
A. Strategic relevance	The project's goal, objective and components are highly aligned to Nepal's development, environment and climate change needs and priorities. These issues include the NAPA, TYP, Climate Resilient Strategy, Biodiversity Strategy and Action Plan and the PPFP.	3.1.1 and 3.1.2	Highly Satisfactory
B. Achievement of outputs	The project worked directly with the national, sub-national and community stakeholders, trained key stakeholders on EbA, piloted and demonstrated EbA options at ecosystem level, and used participatory methods to communicate and disseminate EbA lessons learned. Almost all the outputs were satisfactorily achieved based on the log-frame indicators. The technical outputs for all components were of a high quality. Outputs on outcome 2 on developing EBA action plans at ecosystem level, outcome 3 on implementation of EbA pilots at ecosystem level and outcome 4 on building evidence base for EbA were exceptionally achieved.	3.2	Highly Satisfactory
C. Effectiveness: Attainment of objectives and planned results			

Criterion	Summary Assessment	Ref.	Rating
1. Achievement of direct outcomes as defined in the reconstructed TOC	Project monitoring did not adequately support documenting evidence at outcome level. However, direct outcomes of the project were achieved. The project was successful in strengthening the capacity of the national and sub-national governments, VDCs and CFUGs in the Panchase region to apply EbA approaches. A VIA was produced and used to identify and pilot EbA options, and CBA conducted that confirmed the viability and sustainability of EbA options. The necessary human capacity was built at relevant levels and institutional mechanisms (Protective Forest Directive, PPF and SNNP management plans, EbA Technical Committee etc.) created to support EbA. The project deployed capacity building approaches that were based on learning by doing and demonstrations in the pilot sites. In addition, the project raised EbA awareness and knowledge among policy and decision makers and the wider public.	3.3.1	Satisfactory
2. Likelihood of impact using ROtI approach	The project outcomes achieved have implicit forward linkages to intermediate states and impacts. Considering the high level of ownership of the project results at national and sub-national levels there is likelihood of impact. However, a follow up phase/project may be necessary. Due to the project interventions, EbA has been integrated in the INDC, and the reviewed Protective Forest Directive and the PPF and SNNP management plans. In addition, adaptation action plans were developed for the 13 sub-watersheds in Panchase. Three of the developed action plans were implemented through ecosystem restoration, land rehabilitation and water conservation interventions (section 3.2.3). Even though, EbA is not yet integrated in national and sectoral development policy, the project has succeeded in putting in place drivers that will lead to policy change and reduce the vulnerability of the communities to the impacts of floods, droughts and landslides, and improve community livelihoods. Moreover, the project has promoted partnerships and dialogue at the community, district, regional and national levels involving both the technical and political arms of government. This has fostered collaboration in sharing of EbA information and lessons learned, ownership of the results of the project. These are critical for enhancing EbA implementation, scaling up and replication. All these are key drivers towards the intermediate state and contributing to increasing preparedness to climate change risks and flood disasters. The implementation of EbA tools and approaches are contributing to increased ecosystem and community resilience	3.3.2	Satisfactory
D. Sustainability and replication			Moderately Likely
1. Socio-political sustainability	The project was implemented in a participatory manner and succeeded in getting political buy-in and ownership. It generated considerable social and political support at national, regional and community levels. It has also built case for EbA that is already influencing policy. The socio-political environment is conducive to sustaining the project outcomes.	3.4.1	Likely
2. Financial resources	The GoN has begun to allocate some financial resources in the budget to scale up and replicate project results. However, the allocated funds are inadequate to effectively upscale and replicate EbA interventions, which could undermine sustainability. Thus, there may be need for follow up phase/funding to build EbA awareness and knowledge	3.4.2	Moderately Likely

Criterion	Summary Assessment	Ref.	Rating
	and to replicate EbA options outside the pilot sites. Such follow up activities should involve more local partners. More effort is needed to complete integration of EbA in national and sectoral development policy.		
3. Institutional framework	The project has built strong partnerships at global, national regional, district and community institutions. There was a lot of engagement with NGOs and CFUGs. Strengthening the capacity of MoFSC, DoF, WRFD, Districts, VDCs and community groups will ensure the continuation of project outcomes i.e. VIA, CBA, and implementing EbA options and livelihood improvement interventions.	3.4.3	Likely
4. Environmental sustainability	Identification and implementation of EbA options, including ecosystem restoration, land rehabilitation and water conservation promotes environmental sustainability. Up-scaling and replicating EbA approaches and options will greatly promote environmental sustainability in the whole of the Panchase region. However increased pressures on natural resources and ecosystems could potentially undermine ecological sustainability. Some external factors, like the April 2015 earthquake and other emergencies, can also undermine sustainability.	3.4.4	Likely
5. Catalytic role and replication	The project has raised EbA awareness and increased confidence in application of EbA options. The implementation of sub-watershed management, ecosystem restoration, and no regret adaptation action in communities has demonstrated the benefits of promoting EbA for increased resilience. The project produced a number of lessons and best practices as well as tools and documentaries that will potentially facilitate replication. Long term impacts are likely to accrue if implementation of EbA forms part of a wider framework for Nepal's adaptation planning and sustainable development. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance by households, communities and local governments of EbA practices.	3.4.5	Moderately Satisfactory
E. Efficiency	Though the project experienced delays in its initial stage, remedial measures were put in place after that fast tracked the project implementation. Project activities were low cost and in this sense the programme was very cost-effective. This was achieved through establishing strategic partnerships through MoUs, selection of pilot and demonstration sites in areas with ongoing projects and programmes, involving local communities in implementation and utilization of existing institutions, structures and information.	3.5	Satisfactory
F. Factors affecting project performance		3.6	
1. Preparation and readiness	The project readiness in Nepal experienced initial delays because a country ProDoc had to be developed and UNEP delayed delivery of EbA tools and methodologies	3.6.1	Moderately Satisfactory
2. Project implementation and management	The implementation approach was highly effective and the project ran fairly smoothly. Adaptive management measures were taken when needed to ensure that the project remained on track. However, complications in implementation arrangement created by having a number of implementing partners (UNEP, UNDP and IUCN) which operated different reporting mechanisms put enormous pressure on the project team and undermined flexibility. The project had multiple implementation partners, had a multi-sectoral PEB and FLPCC and engaged many partners and	3.6.2	Satisfactory

Criterion	Summary Assessment	Ref.	Rating
	stakeholders at global, national and local levels. This helped build and strengthen partnerships and an institutional framework for EbA. It also directly helped institutions to overcome some capacity barriers (MoFSC, DoF, WRFD, Districts, VDCs) and this creates opportunities for mainstreaming EbA into national and sectoral policy development and planning process.		
3. Stakeholders participation, cooperation and partnerships	A participatory approach was used, and wide range of stakeholders, from communities to districts, regional and national government were involved in selection of pilot sites and project implementation or were targeted for capacity building. Participation of CBOs and NGOs was high. Considerable effort went into participatory action planning and implementation of EbA practices on the ground.	3.6.3	Highly Satisfactory
4. Communication and public awareness	Significant effort went into raising public awareness and knowledge and mobilising stakeholders to implement project activities. A range of communication materials were prepared including learning briefs, policy briefs, guidelines, documentaries and training materials. Public awareness workshops were convened and demonstrations of EbA practices conducted. An Adaptation Learning Resource Centre was put in place. Information sharing platforms were put in place to disseminate project achievements and success stories. Clear communication between PMU, partners and beneficiaries played a role in the project's success.	3.6.4	Highly Satisfactory
5. Country ownership and driven-ness	The project responded to country needs for reducing vulnerability and increasing resilience. As a result, there was considerable enthusiasm and drive to move the project's results forward and country ownership was very strong. The partnerships forged and high stakeholder participation were great achievements. Engagement of national and local stakeholders at all levels and alignment of the project goals with national and local priorities and needs with respect to climate change adaptation was instrumental in promoting a high level of country ownership and driven-ness.	3.6.5	Highly Satisfactory
6. Financial planning and management	Financial planning and management was in accordance with UNEP's requirements. Project expenditure was in line with the budget. Though financial reporting was good, UNDP did not spend all the funds allocated. In addition, the project partners (UNDP and IUCN) operated separate financial reporting to UNEP. IUCN financial reporting was not through the PMU.	3.6.6	Satisfactory
7. Supervision, guidance and technical backstopping	Both UNEP and UNDP played a very commendable role in supervision and backstopping with great team commitment. No major issues in project implementation and execution were encountered.	3.6.7	Highly Satisfactory
8. Monitoring and evaluation	The overall rating on M&E is based on rating for M&E Implementation.	3.6.8	Satisfactory
i. M&E design	The Nepal ProDoc was well developed. The project had a log-frame with SMART indicators and targets. However, outcome level indicators were not quantified,	3.6.8	Satisfactory
ii. M&E plan implementation	There was regular monitoring of progress, reporting and documenting lessons learned. A MTR was conducted and recommendations implemented.	3.6.8	Satisfactory
Overall country component rating			**Satisfactory**

ANNEX VIII: PERU - SUMMARY OF EVALUATION FINDINGS AT COUNTRY LEVEL

Introduction

In Peru, the EbA for Mountain Ecosystems Project was implemented by the UNEP, UNDP and IUCN (The Mountain Institute) from 2012 to 2016 (four years). The project implementation was in collaboration with the Government of Peru (GoP), with the Ministry of Environment through the Directorate of Climate Change as the as a lead implementation agency,

The project sites were in the high Andes at the "Nor Yauyos Cochas Landscape Reserve" – NYCLR (Reserva Paisajística Nor Yauyos Cochas). The project area was selected because it was considered a highly vulnerable to the impacts climate change and it holds one of the best examples of the social and environmental conditions of a mountain ecosystem and because it is one of the largest areas without a major intervention.

The goal of the project was to strengthen Peru's capacity to apply EbA for building ecosystem resilience and reducing the vulnerability of communities and ecosystems in the NYCLR to climate change. The project had five components (1) development of methodologies and tools for EbA decision making in mountain ecosystems; (2) application of methodologies and tools at ecosystem level; (3) implementation of EbA pilots at ecosystem level; (4) development of business case for EbA at the national level and (5) development of a learning and knowledge management framework. UNEP led implementation of components 1, 2 and 5, UNDP and IUCN implemented component 3, and UNDP also implemented component 4.

Summary of Evaluation criteria, assessment and ratings for Peru

Criterion	Summary Assessment	Ref.	Rating
A. Strategic relevance	The project's goal, objective and components are highly aligned to Peru's development, environment and climate change needs and priorities. These issues include: (i) national development plans and climate change policies and actions that integrate EbA; (ii) increased uptake and scaling-up of EbA practices by governments and communities in mountain ecosystem to adapt to a changing climate; and, (iii) enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate	3.1.1 and 3.1.2	Highly Satisfactory
B. Achievement of outputs	The project worked directly with the national, regional and community stakeholders, trained key stakeholders on EbA, piloted and demonstrated EbA options at ecosystem level, and used participatory methods to communicate and disseminate EbA lessons learned. Almost all the outputs were satisfactorily achieved based on the log-frame indicators. The technical outputs for all components were of a high quality. In particular outputs on outcome 3 on implementation of EbA pilots at ecosystem level.	3.2	Satisfactory
C. Effectiveness: Attainment of objectives and planned results			

Criterion	Summary Assessment	Ref.	Rating
1. Achievement of direct outcomes as defined in the reconstructed TOC	The project complied with the majority of the indicators and in many cases Surpassed them; nevertheless, most indicators were performance indicators, thus the project did not use quantitative results indicators to demonstrate the achievements. However, direct outcomes of the project were largely achieved. The project was successful in strengthening the capacity of the national government, regional government and the selected communities within the NYCLR to apply EbA approaches. The VIA produced important information that helped partially to select the most vulnerable sites but was also used for the NYCLR Management Plan. The pilot options were identified and implemented. Awareness and capacity building for the implementation was built at relevant levels. The project deployed capacity building approaches that were based on learning by doing and demonstrations in the pilot sites. In addition, the project raised EbA awareness and knowledge among policy and decision makers and the wider public and was able to introduce the EbA concept at the policy level (national level within a financial mechanism, at regional levels within the CC Regional Strategies and the Reserves Management Plan, al local level within community management plans). One shortfall was that the EbA and non – regret measures fail was to provide a holistic understanding of the whole ecosystem (considering the species of different trophic levels and considering Biodiversity conservation as one important adaptation measure), instead, it mainly focus on pasture –grassland ecosystems and water management.	3.3.1	Moderately Satisfactory
2. Likelihood of impact using ROtI approach		3.3.2 Moderately likely	
D. Sustainability and replication			
1. Socio-political sustainability	The project was implemented in a participatory manner and succeeded in getting political buy-in and ownership at national, regional and local level. It generated considerable social and political support at national, regional and local community levels. It has also influenced CC Strategies and plan revisions. The socio-political environment is conducive to sustaining the project outcomes.	3.4.1	Highly Likely
2. Financial resources	Maintenance of infrastructure (water tubbing, small dams reconstruction) built with the Project could continue due to the interest of the communities. Besides it is included in the community plans. Though lack of money may be a constrain in maintenance. The regional governments have included the subject in their projects portfolio and the national government has funding for some CC initiatives. Nevertheless, there are financial constrains for the replication of the activities, mainly infrastructure due to the costs involved.	3.4.2	Moderately Likely
3. Institutional framework	The project built strong partnerships at global, national, district and community institutions. Strengthening the capacity of the regional governments and the SERNANP will ensure the continuation of project outcomes i.e. VIA, CBA, incorporating EbA in policies and plans and implementing EbA options and livelihood improvement interventions.	3.4.3	Likely
4. Environmental sustainability	Identification and implementation of EbA options, including ecosystem restoration and soil and water conservation promotes environmental sustainability. However the	3.4.4	Moderately Likely

Criterion	Summary Assessment	Ref.	Rating
	limited approach to include Biodiversity Conservation as an important element of the ecosystems could undermine their resilience towards new CC conditions.		
5. Catalytic role and replication	The project has produced a number of lessons and best practices as well as tools and documentaries that will facilitate replication. Examples of replication are already evident, but greater support and financial resources are required for scaling up. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance by households, communities and local governments of EbA practices. There are already additional projects to be implemented by the Agencies outside the NYCLR.	3.4.5	Moderately Satisfactory
E. Efficiency	The cost efficiency was good which resulted in achievement of project results within the planned budget and time frame, supported by the high level of ownership. Though the project experienced important delays due the delays of the VIA Study, the project overtook the problem by selecting sites with preliminary data and IUCN-TMI by the use of CBA methodology. The budget management was highly efficient by all parties and did not have any implementation delay due to delays on disbursements. Co-finance was not planned within the project, though executers were able to obtain important contributions from the regional authorities and communities for the implementation, making the project more efficient. This was achieved through establishing strategic partnerships involving local communities in implementation and utilization of existing institutions, structures and information. However, achievement of project outputs was less timely given the delays in delivering EbA tools and methodologies and VIAs which delayed the logical and sequential implementation of the projects components and the shortfall of not having the time to evaluate the project results.	3.5	Satisfactory
F. Factors affecting project performance		3.6	
1. Preparation and readiness	The ProDoc had accurately described the important stakeholders and processes for the project, such as the necessity to update the CC Regional Strategy and the Management Plan of the Reserve. The targets set by project at design were in general achievable in the planned budget and time frame, although there were some expected results that were unrealistic. However, the project implementation experienced an initial short delay putting in place a PMU, and delays on VIA completion.	3.6.1	Satisfactory
2. Project implementation and management	The coordination among the Agencies was excellent despite some initial difficulties. Coordination had challenges as the UNEP and IUCN coordinators had their residence in Panama and Ecuador, nevertheless, they had weekly Skype meetings and face to face meetings as needed. The project had a well-structured mechanism for implementation, which was highly effective and the project ran fairly smoothly. The project had multiple implementation partners, and engaged many partners and stakeholders at global, national and local levels. This helped build and strengthen partnerships and an institutional framework for EbA. It also directly helped institutions to overcome some capacity barriers (MEF) and create opportunities for mainstreaming EbA into districts, sectoral and national	3.6.2	Satisfactory

Criterion	Summary Assessment	Ref.	Rating
	planning process.		
3. Stakeholders participation, cooperation and partnerships	A participatory approach was used, and wide range of stakeholders, from local communities to districts and national government were involved in selection of pilot sites and project implementation or were targeted for capacity building. Considerable effort went into participatory visioning and implementation of EbA practices on the ground.	3.6.3	Highly Satisfactory
4. Communication and public awareness	Significant effort went into raising public awareness and knowledge and mobilising stakeholders to implement project activities. A range of communication material was prepared including learning briefs, documentaries, brochures, technical documents of high quality, videos and training materials. Public awareness workshops were convened and demonstrations of EbA practices conducted. Information sharing platforms were put in place to disseminate project achievements and success stories, including newspaper articles. Clear communication between PMU, partners and strong participation of beneficiaries for design and implementation of EbA and non-regret measures played a key role in the project success.	3.6.4	Moderately Satisfactory
5. Country ownership and driven-ness	The project was aligned to the Agencies mandates, to the national priorities on CC (policies and legal framework), to the regional institutions (Regional Governments and NYCLR) mandates and to the communities needs for reducing vulnerability and increasing resilience. As a result, there was considerable enthusiasm and drive to move the project's results forward and country ownership and engagement was very strong. The partnerships forged high stakeholder participation and contributed to include EbA concepts on policies, legal frames, planning instruments and financial mechanism, which were considered useful.	3.6.5	Highly Satisfactory
6. Financial planning and management	Financial planning and management was in accordance with UNEP's requirements. Financial reporting was done to the Agencies headquarters and overall amounts to UNDP for PIRs. Reporting was good. UNEP did not spend all the funds allocated.	3.6.6	Satisfactory
7. Supervision, guidance and technical backstopping	UNEP, UNDP and IUCN played a great role in coordination and supervision and backstopping with great team commitment. No major issues in project implementation and execution were encountered. Technical backstopping was provided by the UNDP Country Office and UNEP technical assistance.	3.6.7	Highly Satisfactory
8. Monitoring and evaluation	The overall rating on M&E is based on rating for M&E Design	3.6.8	Moderately Unsatisfactory
i. M&E design	The Peru ProDoc had a log-frame with some limitations. Even when it has SMART indicators, the majority were performance indicators.	3.6.8	Moderately Unsatisfactory
ii. M&E plan implementation	There was an extraordinary effort for coordination among Agencies. There was a close monitoring of progress, reporting and documenting lessons learned. A MTR was not conducted nor a Final Report.	3.6.8	Moderately Satisfactory
Overall project rating			**Satisfactory**

ANNEX IX: UGANDA - SUMMARY OF EVALUATION FINDINGS AT COUNTRY LEVEL

Introduction

In Uganda, the EbA for Mountain Ecosystems Project was implemented by the UNEP, UNDP and IUCN from 2012 to 2016 (four years). The project implementation was in collaboration with the Government of Uganda (GoU), with the Ministry of Water and Environment (Directorate of Environmental Affairs) as the lead implementation agency. The lead implementation agency worked in close collaboration with UNDP and IUCN and the Local Governments of Bulambuli, Kapchorwa, Kween and Sironko Districts all of which were overseen by the UNEP Regional Office for Africa (ROA).

The project sites were the Mt. Elgon region of Uganda, which the GoU considered a climate change hot spot due to occurrence of climate related hazards and disasters more especially droughts, floods, landslides and soil erosion, as well as the high ecosystem degradation in the region. The project was also responding to Uganda's National Communication and National Adaptation Programmes of Action (NAPA) which identified that Mt. Elgon is highly vulnerable to climate change and that some of the ways of reducing the vulnerability was through building ecosystem resilience.

The goal of the project was to strengthen Uganda's capacity to apply EbA for building ecosystem resilience and reducing the vulnerability of communities in the Mt. Elgon to climate change. The project had five components (1) development of methodologies and tools for EbA decision making in mountain ecosystems; (2) application of methodologies and tools at ecosystem level; (3) implementation of EbA pilots at ecosystem level; (4) development of business case for EbA at the national level and (5) development of a learning and knowledge management framework. UNEP led implementation of components 1, 2 and 5, UNDP and IUCN implemented component 3, and UNDP also implemented component 4.

Summary of Evaluation criteria, assessment and ratings for Uganda

Criterion	Summary Assessment	Ref.	Rating
A. Strategic relevance	The project's goal, objective and components are highly aligned to Uganda's development, environment and climate change needs and priorities. These issues include: (i) national development plans and climate change policies and actions that integrate EbA; (ii) increased uptake and scaling-up of EbA practises by governments and communities in mountain ecosystem to adapt to a changing climate; and, (iii) enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate	3.1.1 and 3.1.2	Highly Satisfactory
B. Achievement of outputs	The project worked directly with the national, district and community stakeholders, trained key stakeholders on EbA, piloted and demonstrated EbA options at ecosystem level, and used participatory methods to communicate and disseminate EbA lessons learned. Almost all the outputs were satisfactorily achieved based on the log-frame indicators. The technical outputs for all components were of a high quality. Outputs on outcome 3 on implementation of EbA pilots at ecosystem level and outcome 4 on building evidence base for EbA were exceptionally achieved.	3.2	Satisfactory
C. Effectiveness: Attainment of objectives and planned results			

Criterion	Summary Assessment	Ref.	Rating
1. Achievement of direct outcomes as defined in the reconstructed TOC	Project monitoring did not adequately support documenting evidence at outcome level. However, direct outcomes of the project were largely achieved. The project was successful in strengthening the capacity of the national government, DLGs and communities in Mt. Elgon to apply EbA approaches. A VIA was produced and used to identify and pilot EbA options, and CBA conducted that confirmed the viability and sustainability of EbA options. The necessary human capacity was built at relevant levels and institutional mechanisms (EbA proofed policies) created to support EbA. The project deployed capacity building approaches that were based on learning by doing and demonstrations in the pilot sites. In addition, the project raised EbA awareness and knowledge among policy and decision makers and the wider public.	3.3.1	Moderately Satisfactory
2. Likelihood of impact using ROtI approach	The project outcomes achieved have implicit forward linkages to intermediate states and impacts. Considering the high level of ownership of the project results at national and local levels there is likelihood of impact. However, a follow up phase/project may be necessary. Due to the project interventions, EbA has been integrated in the NDP II, NCCP and DDPs of the four pilot districts (Bulambuli, Kapchorwa, Kween and Sironko districts). At the district level, EbA action plans were also developed. The landscape and climate change adaptation action plans developed at parish level were implemented through ecosystem restoration interventions. Innovative economic incentives for promoting EbA were developed, including the community conservation fund, revolving fund and PES mechanisms, which are operating after the expiry of the project. These are beginning to translate into increased resilience of ecosystems and communities to a changing climate. Even though, guidelines for mainstreaming EbA in policies and plans are still being developed after the project end, the project has succeeded in putting in place drivers that will reduce the vulnerability of the communities to the impacts of floods, droughts and landslides, and improve community livelihoods. Moreover, the project has promoted partnerships and dialogue at the community, district and national levels involving both the technical and political arms of government. This has fostered collaboration in sharing of EbA information and lessons learned, ownership of the results of the project, and above all the integration of EbA in policies and planning at national and local levels. These are critical for enhancing EbA implementation, scaling up and replication. All these are key drivers towards the intermediate state and contributing to increasing preparedness to climate change risks and flood disasters. The implementation of EbA tools and approaches are contributing to increased ecosystem and community resilience	3.3.2	Likely
D. Sustainability and replication			
1. Socio-political sustainability	The project was implemented in a participatory manner and succeeded in getting political buy-in and ownership. It generated considerable social and political support at national and local community levels. It has also influenced policy and plan revisions. The socio-political environment is conducive to sustaining the project outcomes.	3.4.1	Highly Likely
2. Financial resources	The lack of finances to upscale and replicate EbA interventions could undermine sustainability. Thus, there may be need a for follow up phase/funding to build EbA awareness and knowledge and to replicate EbA options beyond the pilot sites. Such follow up activities should involve more local partners. Although Uganda has integrated EbA in national policy and planning, local resources are not adequate to implement EbA options. Moreover, EbA needs also needs to be integrated in sectoral policies and plans. Nonetheless, there are a few ongoing and planned initiatives in climate change	3.4.2	Moderately Unlikely

Criterion	Summary Assessment	Ref.	Rating
	adaptation supported by both the GoU, bilateral and multilateral donors that provide some opportunities for sustaining and replicating project achievements. Additionally, the socio-political situation and institutional frameworks are conducive to sustaining project outcomes.		
3. Institutional framework	The project built strong partnerships at global, national district and community institutions. There was a lot of engagement with NGOs and CBOs. Strengthening the capacity of MWE, Districts and community groups will ensure the continuation of project outcomes i.e. VIA, CBA, incorporating EbA in policies and plans and implementing EbA options and livelihood improvement interventions.	3.4.3	Likely
4. Environmental sustainability	Identification and implementation of EbA options, including ecosystem restoration and soil and water conservation promotes environmental sustainability. Up-scaling and replicating EbA approaches and options will greatly promote environmental sustainability in the whole of Uganda. However increased population growth could create pressures on natural resources and ecosystems that could potentially undermine ecological sustainability.	3.4.4	Likely
5. Catalytic role and replication	The project has raised EbA and increased confidence in application of EbA options. The implementation of river catchment restoration, soil and water conservation and no regret adaptation action in communities has demonstrated the benefits of promoting EbA for increased resilience. The project's lessons learned, tools and documentaries will facilitate replication. Examples of replication are already evident, but greater support and financial resources are required for scaling up. Long term impacts are likely to accrue if implementation of EbA forms part of a wider framework for Uganda's adaptation planning and sustainable development. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance by households, communities and local governments of EbA practices. There are already promising cases where project results (VIA, ecosystem restoration and watershed management) are being applied outside the pilot areas - in other communities of Mt. Elgon region and the country at large to inform adaptation planning and decision making.	3.4.5	Satisfactory
E. Efficiency	The cost efficiency was good which resulted in achievement of project results within the planned budget and time frame, supported by the high level of ownership. Though the project experienced unnecessary delays in its initial stage, remedial measures were put in place after the MTR that fast tracked the project implementation to high level success. Project activities were low cost and cast a vast net in terms of livelihood impact – in this sense the programme was very cost-effective. This was achieved through establishing strategic partnerships through MoUs, selection of pilot and demonstration sites in areas with ongoing projects and programmes, involving local communities in implementation and utilization of existing institutions, structures and information. However, achievement of project outputs was less timely given the delays in delivering EbA tools and methodologies and VIAs which delayed the logical and sequential implementation of the projects components.	3.5	Moderately Satisfactory
F. Factors affecting project performance		3.6	
1. Preparation and readiness	The targets set by project at design were achievable in the planned budget and time frame. However, the project implementation experienced initial delays caused by UNEP and WCMC in delivering EbA tools and methodologies, putting in place a PMU, and some	3.6.1	Moderately Satisfactory

Criterion	Summary Assessment	Ref.	Rating
	delay in procurement and funds disbursement. However, once the project kicked off in Uganda, it remained on track and most the project activities were completed in time, with just a few remaining in progress.		
2. Project implementation and management	The implementation approach was highly effective and the project ran smoothly. Adaptive management measures were taken when needed to ensure that the project remained on track. However, complications in implementation arrangement created by having several implementing partners (UNEP, UNDP and IUCN) which operated different reporting mechanisms put enormous pressure on the project team and undermined flexibility. The project had multiple implementation partners, had a multi-sectoral NPSC and engaged many partners and stakeholders at global, national and local levels. This helped build and strengthen partnerships and an institutional framework for EbA. It also directly helped institutions to overcome some capacity barriers (MWE and districts) and create opportunities for mainstreaming EbA into districts, sectoral and national planning process.	3.6.2	Satisfactory
3. Stakeholders participation, cooperation and partnerships	A participatory approach was used, and wide range of stakeholders, from local communities to districts and national government were involved in selection of pilot sites and project implementation or were targeted for capacity building. Participation of NGOs was high. Considerable effort went into participatory visioning and implementation of EbA practices on the ground.	3.6.3	Highly Satisfactory
4. Communication and public awareness	Significant effort went into raising public awareness and knowledge and mobilizing stakeholders to implement project activities. A range of communication material was prepared including learning briefs, documentaries and training materials. Public awareness workshops were convened and demonstrations of EbA practices conducted. Adaptation Learning Centres were put in place. Information sharing platforms were put in place to disseminate project achievements and success stories, including radio programmes that facilitated farmer to farmer learning. Clear communication between PMU, partners and beneficiaries played a key role in the project success.	3.6.4	Highly Satisfactory
5. Country ownership and driven-ness	The project responded to country needs for reducing vulnerability and increasing resilience. Thus, there was considerable enthusiasm and drive to move the project's results forward and country ownership was very strong. The partnerships forged and the high stakeholder participation were great achievements. Engagement of national and local stakeholders at all levels and alignment of the project goals with national and local priorities and needs with respect to climate change adaptation was instrumental in promoting a high level of country ownership and driven-ness.	3.6.5	Highly Satisfactory
6. Financial planning and management	Financial planning and management was in accordance with UNEP's requirements. Though financial reporting was good, UNDP did not spend all the funds allocated. In addition, the project partners (UNDP and IUCN) operated separate financial reporting to UNEP. IUCN financial reporting was not done through the PMU.	3.6.6	Satisfactory
7. Supervision, guidance and technical backstopping	Both UNEP and UNDP played an adequate role in supervision and backstopping with great team commitment. No major issues in project implementation and execution were encountered. Technical backstopping was provided by the UNDP Country Office	3.6.7	Highly Satisfactory
8. Monitoring and evaluation	The overall rating on M&E is based on rating for M&E Implementation.	3.6.8	Satisfactory
i. M&E design	The Uganda ProDoc had no log-frame with SMART indicators	3.6.8	Moderately Satisfactory
ii. M&E plan implementation	There was regular monitoring of progress, reporting and documenting lessons learned. A MTR was conducted and recommendations implemented.	3.6.8	Satisfactory

Criterion	Summary Assessment	Ref.	Rating
Overall project rating			**Satisfactory**

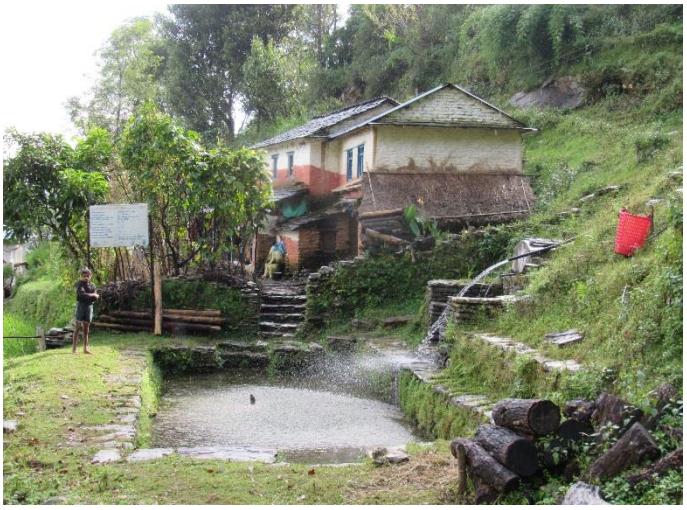
ANNEX X: EBA MOUNTAIN PROJECT - PICTURES

Nepal Pictures

Panchase: Restoration of degraded land – tree plating

Panchase: Use of bio-engineering to control landslides and soil erosion

Panchase: River bank protection using bio-engineering technology



Slope stabilisation using broom grass and bio-egineering technology

Peru Pictures

Tanta: Lamas grazing on slopes

Tanta: Sheep grazing on slopes

Tanta: Water reservoir

Tanta: Example of fencing

Uganda Pictures

Storage tank for gravity water scheme in Sironko District

Adaptation Learning Centre in in Sironko District

River bank protection in Kapchorwa District

River bank protection in Kween District

ANNEX XII: CONSULTANTS' RÉSUMÉ

Revocatus Twinomuhangi, PhD - Team Leader

Revocatus Twinomuhangi holds a PhD in Environmental Management (Makerere University). He is a Uganda national working as Senior Lecturer in the Department of Geography, Geo-Informatics and Climatic Sciences at Makerere University. His main fields of expertise related to climate change involve climate change vulnerability, impact and adaptation, low carbon development, project development, implementation and evaluation. Evaluation related experience involves evaluation of the UNEP Climate Change Sub-programme, Uganda's Farm Income Enhancement and Forestry Conservation Project in Uganda, Monitoring and reporting CDKN work in Uganda, and the UNEP early warning systems projects in Gambia and Rwanda.

He has been engaged as an independent consultant with many international organizations i.e. UNEP, UNDP, USAID, FAO, USAID, CDKN, WWF, EU, and Expertise France (former Adetef) in Uganda, East Africa and the African region. Currently he is currently engaged in overseeing two CDKN supported projects - the economic assessment of the impacts of climate change in Uganda and developing Intended Nationally Determined Contributions (INDCs) for Uganda. In addition, he is engaged in National Adaptation Plans (NAPs) preparation for Uganda, developing a low carbon development and climate change resilient strategy for Kampala city. He was engaged in: developing the National Climate Change Policy for Uganda, integration of climate change in Uganda's Second National Development Plan (2015-2020), development of the Integrated Territorial Climate Change Plan for the Mbale region of Uganda, development of climate change adaptation strategy and action plan for WWF Uganda country Office. He is currently the Coordinator of the Makerere University Centre for Climate Change Research and Innovations and Director, Remode Consults Limited.

Clemencia Vela - Supporting Consultant

Clemencia Vela holds a MSc in Environmental Science and Ecology (Aberdeen University - UK). She is an Ecuadorian national working as international evaluator of environmental policies, programs and projects in Latin America. Her expertise is related to Environment and Climate Change. She has worked extensively in the evaluation of national and regional projects and programs, as well as country portfolio evaluations and thematic evaluations. She has been engaged as an independent consultant with many international organizations i.e. GEF, UNDP, WB IDB and UNOPS, in the Caribbean and Latin American region. Currently she is also a board member of international evaluation organizations such as IOCE, Eval Partners and the Latin American evaluation network - RELAC, she is also the Coordinator of the Ecuadorian Evaluation Network.

Within the evaluations related to Climate Change and ecosystem management that she has been involved, it is worth mentioning: Mid Term Evaluation of the Country Partnership Program to Combat Desertification and drought in Cuba; Final Evaluation of the project "Fortalecimiento Institucional y de Política para Incrementar la Conservación de la Biodiversidad en Predios Privados en Colombia"; Global Evaluation of the Small Grants Programme. Case Studies Peru and Ecuador; Mid Term Evaluation of the Project "*Fortalecimiento del sistema de áreas protegidas marino-costeras de Venezuela";* Mid Term Evaluation of regional project *"Reducción y prevención de la contaminación de origen terrestre en el Río de la Plata y su Frente Marítimo mediante la implementación del Programa de Acción Estratégico de FREPLATA" in Uruguay and Argentina;* Mid Term Evaluation of the project *"Sistema Regional de Áreas Protegidas para la Conservación y Uso Sustentable del Bosque Lluvioso Templado Valdiviano"*; "Country's Portfolio Study" of El Salvador and Study Case *"Results to Impact" of Biodiversity Conservation projects within coffee plantations"*; *"Evaluación Final del Proyecto Manejo Integrado en Tres Ecorregiones Prioritarias in Mexico" (which dealt with Sustainable Development and Conservation, Climate change, CO_2 capture, garbage recycling, sustainable farming, ecotourism, fishing and included in their beneficiaries five indigenous populations and local authorities);* Final Evaluation of the Regional Project (Nicaragua, Panamá, Costa Rica, Guatemala, Honduras, El Salvador and Belice) "*Establecimiento de un Programa para la Consolidación del Corredor Biológico Mesoamericano*"; Mid Term Evaluation of the Regional Project *"Capacity Building for Stage II Adaptation to Climate Change in Central America, Mexico and Cuba".*

ANNEX XIII: EVALUATION REPORT QUALITY ASSESSMENT

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

		UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria				
A.	Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: Executive Summary outlines the evaluation, presents the main findings and provides a summary of the lessons and recommendations. It is a bit lengthy. Final report: Same as above.	S	S
B.	Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: The report presents a good overview of the project context and description. Final report: Same as above.	S	S
C.	Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	Draft report: The report presents a thorough assessment of relevance. Final report: Same as above.	HS	HS
D.	Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: The report provides a thorough assessment of the achievement of outputs. Final report: Same as above.	S	S
E.	Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: The presentation of ToC is thorough. Final report: Same as above.	HS	HS
F.	Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Effectiveness has been adequately described. At places, the assessment includes output-level achievements or is unclear in regards attribution and contribution. Final report: Same as above.	MS	MS

G.	Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: The assessment of sustainability and replication is adequate, in places evidence should be more clearly presented. Final report: Same as above.	MS	MS
H.	Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: The report presents an adequate assessment of efficiency, including timeliness and cost-effectiveness. Final report: Same as above.	MS	MS
I.	Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: The factors affecting project performance have been well described. Final report: Same as above.	S	S
J.	Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: The conclusions-section highlights main strengths and weaknesses of the project, the text could flow better. Final report: Same as above.	MS	MS
K.	Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?)'. Can they be implemented?	Draft report: Recommendations are based on evaluation findings but could be revised to be clearer in regards the context, recommended action and who should implement the recommendation. Final report: Same as above.	MS	MS
L.	Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Lessons are based on evaluation findings but could be revised to more clearly describe the context from where they are derived from and the lesson to be learned. Final report: Lessons are well formulated.	MS	S
Report structure quality criteria				
M.	Structure and clarity of the report: Does the report structure follow EOU guidelines? Are all requested Annexes included?	Draft report: The report structure carefully follows EOU guidelines, although it exceeds the recommended length of a TE report. Final report: Same as above.	S	S
N.	Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: The description of evaluation methods and sources is quite generic. Final report: Same as above.	MS	MS
O.	Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: The report has been well written. Final report: Same as above.	S	S

P.	Report formatting: Does the report follow EOU guidelines using headings, numbered paragraphs etc.	Draft report: The report has been well formatted Final report: Same as above.	S	S
		OVERALL REPORT QUALITY RATING	S	S

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

		UNEP Evaluation Office Comments	Rating
Evaluation process quality criteria			
Q.	Preparation: Was the evaluation budget agreed and approved by the EOU? Was inception report delivered and approved prior to commencing any travel?	The budget was agreed and approved by the EOU and inception report was delivered and approved prior to travels.	HS
R.	Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	The TE was initiated within the time frame. Completion of the evaluation took longer than planned in the ToR.	MS
S.	Project's support: Did the project make available all required documents? Was adequate support provided to the evaluators in planning and conducting evaluation missions?	Project made available the required documents, however financial information was received late.	MS
T.	Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Implementation plan was prepared and shared with the project.	S
U.	Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EOU complete an assessment of the quality of the final report?	Evaluation was peer reviewed and quality was checked before dissemination to stakeholders for comments. Quality assessment was completed.	S
V.	Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EOU? Were all comments to the draft evaluation report sent directly to the EOU and did the EOU share all comments with the commentators? Did the evaluators prepare a response to all comments?	ToR was circulated to key stakeholders, draft was sent directly to the EOU, comments were sent directly to EOU and comments and responses were shared with commentators.	HS
W.	Participatory approach: Was close communication to the EOU and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Close communication was maintained throughout the evaluation. Findings, lessons and recommendations were adequately communicated.	S
X.	Independence: Was the final selection of the evaluators made by EOU? Were possible conflicts of interest of the selected evaluators appraised?	Selection of evaluators was made by the EOU. There were no conflicts of interest.	HS
		OVERALL PROCESS RATING	S

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.