

**Validated Terminal Review of the UNEP/GCF  
Readiness Project “Building capacity to advance  
National Adaptation Plan Process in Zimbabwe”  
(ZWE RS 002)  
2019 – 2023**



**UNEP Ecosystems Division  
Validation date: December 2023**



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This report has been prepared by an external consultant as part of a Terminal Review, which is a management-led process to assess performance at the project's operational completion. The UNEP Evaluation Office provides templates and tools to support the review process and provides a formal assessment of the quality of the Review report, which is provided within this report's annexed material. In addition, the Evaluation Office formally validates the report by ensuring that the performance judgments made are consistent with evidence presented in the in the Review report and in-line with the performance standards set out for independent reviews. As such the project performance ratings presented in the Review report may be adjusted by the Evaluation Office. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.

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UNEP/GCF  
Readiness Project in Zimbabwe  
(ZWE RS 002)  
(11/2023)  
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## ACKNOWLEDGEMENTS

This Terminal Review was prepared for UNEP by **IOD PARC**.

The reviewer would like to express their gratitude to all persons met and who contributed to this review, as listed in **Annex 3**.

The review consultant extends heartfelt gratitude to the project team, especially Mr. Gift Gewona, for their invaluable contributions and unwavering collaboration throughout the review process. Special thanks go to the dedicated members of the Project Board/Steering Committee who spared their time to provide feedback on the draft report. The evaluator(s) would also like to express their appreciation to the Government of Zimbabwe, the Ministry of Environment, Tourism, Climate and Hospitality Industry, and the Climate Change Management Department (CCMD), as well as their partners, where applicable.

Gratitude is extended to UNEP's Nairobi office, CCMD in Harare, and the institutions in Zimbabwe's provinces and districts with whom we collaborated. Their generous contribution of time and their willingness to openly share their insights and experiences are greatly appreciated. A special acknowledgment goes out to Gift Gewona (UNEP), Emily Matingo, and Tarcisious Mukava from CCMD.

The review consultant(s) hopes that the findings, conclusions, and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

## BRIEF CONSULTANT BIOGRAPHY

Established in 1998 in the United Kingdom, **IOD PARC** is a distinguished employee-owned consultancy firm specializing in results-based performance assessments within the realm of international development. With a wealth of expertise, we have conducted over 1,000 consultancy assignments across 100+ countries, collaborating with a diverse range of multilateral, bilateral, UN agencies, and other global institutions. Our core competencies lie in delivering high-quality evaluations, designing evaluation quality assurance systems, and fostering organizational development and change through a process-driven approach.

Our track record extends to global evaluations of international policies, interventions, and institutions, the development and implementation of corporate performance assessment systems, including evaluation functions, and providing invaluable monitoring and evaluation support to government departments, bilateral and multilateral aid organizations. We're recognized for our ability to blend the precision of monitoring and evaluation expertise with an approach centered on process-oriented organizational development and change interventions.

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## ABOUT THE REVIEW

**Joint Review:** No

**Report Language(s):** English.

**Review Type:** Terminal Review

**Brief Description:** This report is a Terminal Review of a UNEP/GCF Readiness project entitled 'Building capacity to advance National Adaptation Plan Process in Zimbabwe' and implemented between 2019 and 2023. The project's overall development goal was to improve knowledge and understanding regarding the climate pressures that Zimbabwe faces; to generate facts (hydrometric data) concerning the climate changes that are taking place; to attract finance so that priority climate adaptation projects are implemented; and to document and generate learning so that improvements can be made in an adaptive and incremental manner. The review sought to assess project performance (in terms of relevance, effectiveness, and efficiency), and determine outputs, outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review 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 UNEP, the GCF and the relevant agencies of the project participating countries.

**Key words:** National Adaptation Plan (NAP; Zimbabwe; Sustainable Development Goals; Systems strengthening; NAP Readiness; Climate Change; Ecosystem Management.

**Primary data collection period:** 17/07/2023-02/08/2023

**Field mission dates:** 17/07/2023-02/08/2023

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# Acronyms and Abbreviations

AFS	Adaptation Finance Strategy
AWS	Automated Weather Station
CAPMANEX	Capital Maintenance Expenditure
CCMD	Climate Change Management Department
CSO	Civil Society Organisation
FGD	Focus Group Discussion
DDC	District Development Committee
GCF	Green Climate Fund
GESI	Gender Equity and Social Inclusion
GIS	Geographic Information Systems
GoZ	Government of Zimbabwe
KII	Key Informant Interviews
LDC	Least Developed Countries
M&E	Monitoring and Review
MDAs	Ministries, Departments and Agencies
MECTHI	Ministry of Environment, Climate, Tourism and Hospitality Industry
MSD	Meteorological Services Department
NAP	National Adaptation Planning (Process)
NDS1	National Development Strategy-1
PDC	Provincial Development Committee
PEDP	Provincial Economic Development Plan
PSC	Project Steering Committee
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States Dollar
ZRBF	Zimbabwe Resilience Building Fund



# Project Identification<sup>1</sup>

<b>UNEP Sub-programme:</b>	CCA	<b>UNEP Division/Branch:</b>	<b>Ecosystems Division/Nature and climate Branch</b>
<b>UNEP Expected Accomplishment(s):</b>	EA (1b)	<b>Programme of Work Output(s):</b>	1.1,1.7,1.8
<b>SDG(s) and indicator(s)</b>	1.5.3, 13. a.1		
<b>Dates of previous project phases:</b>	N/A	<b>Status of future project phases:</b>	N/A

<b>Project Title and ID:</b>	Building capacity to advance National Adaptation Plan Process in Zimbabwe: ZWE RS 002		
<b>Main Project Partner/ Executing Agency:</b>	Ministry of Environment, Water and Climate now renamed Ministry of Environment, Climate, Tourism and Hospitality Industry (MECTHI)		
<b>Other Project Partners:</b>	N/A		
<b>Participating Countries/Regions:</b>	Zimbabwe		
<b>Funding Partner</b>	GCF	<b>Funding Partner Strategic Priority:</b>	Country Programming
<b>Focal Area(s):</b>	Adaptation	<b>UNEP Approval Date:</b>	11/05/2018
<b>Funding Partner Approval Date:</b>	11/05/2018	<b>Preparation Grant Co-financing:</b>	N/A
<b>Preparation Grant Cost:</b>	N/A	<b>Planned Duration:</b>	64 Months
<b>Actual Start Date:</b>	27 February 2019	<b>Actual or Expected Completion Date:</b>	
<b>Intended Completion Date:</b>	30 August 2023	<b>Value of Grant(s):</b>	USD 2,886,725
<b>Project Type:</b>		<b>Total Project Secured Funds:</b>	USD 2,886,725
<b>Expected Project Co-financing:</b>	N/A	<b>Actual Expenditures as of 31 December [year]:</b>	1,981,851
<b>Total Co-financing Realized as of 31 December [year]:</b>	N/A	<b>No. of Revisions and Date of Last Revision:</b>	Three. Latest revision ongoing
<b>Date of Last Steering Committee Meeting:</b>	22/08/2022	<b>Mid-term Review/Eval. (actual date):</b>	N/A
<b>Mid-term Review/Eval. (planned date):</b>	N/A	<b>Terminal Review (actual date):</b>	01 June 2023
<b>Terminal Review (planned date):</b>	01 April 2023		

<sup>1</sup> Project Identification Tables copied from RFQ\_UNEP/GCF Zimbabwe NAP Readiness Terminal Review.

# Executive Summary

1. This is the Terminal Review Report of the National Adaptation Planning (NAP) readiness project in Zimbabwe. The review has been funded by the United Nations Environment Programme (UNEP) and undertaken by a team of four consultants from IOD PARC. The review was undertaken between July and September 2023.
2. As populations continue to grow and urbanize, and the effects of climate change become more apparent, this will place greater stresses on Zimbabwe's natural resources, people, and communities. UNEP and the Green Climate Fund are determined to help countries adapt to these growing threats. NAP readiness projects constitute one way that countries can prepare. They encourage countries to analyse climate threats and identify priority projects for building adaptive capacity. Priority projects cut across multiple sectors and countries are encouraged to identify bankable projects that can be funded and implemented in a collaborative manner.
3. In Zimbabwe people have already been subject to droughts and flooding. At the present time, the NAP readiness project places a strong emphasis on national autonomy and the project has been led and implemented by the Climate Change Management Department (CCMD), which sits within the Ministry of Environment, Climate Tourism and Hospitality Industry. The NAP readiness project has four main components: first, to improve knowledge and understanding regarding the climate pressures that Zimbabwe faces; second, to generate facts (hydrometric data) concerning the climate changes that are taking place; third, to attract finance so that priority climate adaptation projects are implemented; and fourth, to document and generate learning so that improvements can be made in an adaptive and incremental manner.
4. As far as the review is concerned the team from IOD PARC completed the work in three interlinked phases, namely inception, data collection and reporting. The initial assignment meeting took place in late June and the assignment commenced formally at the beginning of July. The team undertook country visits and conducted a series of interviews with key informants, Focus Group Discussions, and visits to NAP project sites. Initial findings were distilled and presented to both UNEP and CCMD. Furthermore, the review findings were shared, discussed and recommendations were co-created with CCMD during an online meeting in August 2023.
5. Key findings from the review are distilled below.
  - Our judgement is the NAP readiness project is highly relevant to the needs of those people in Zimbabwe that are subject to climate change shocks. CCMD has undertaken a series of training sessions to raise awareness to these climate change pressures and how institutions at central and local government levels can adapt to these threats.
  - CCMD has been effective in raising awareness to climate change shocks, however it is uncertain whether this initial training will have long lasting impacts. This is not to say the training has been inappropriate but rather it is less clear how the training will be applied in practice. Consequently, the impact of this training on local communities is likely to be negligible because local government does not possess the equipment, human and financial resources to roll out the training more widely.
  - Efforts to improve the collection and analysis of hydrometric data are a case in point. The NAP project has supported the siting and implementation of 5 Automated Weather Stations (AWS). However there has been less consideration as to how data will be collected, validated, analysed, processed, and published so it leads to better decision-making. In our judgement there needs to be a greater focus on the use of data rather

than building an extensive network of AWS that will be difficult to sustain without significant recurrent finance.

- The NAP readiness project is aware of the need to attract increased finance so priority projects can be implemented. This is reflected in the drafting of a finance strategy, but this still needs to be launched and implemented. Furthermore, Zimbabwe needs to do more to reassure donors that any initial Capital Investment can be sustained with increased recurrent expenditure.
- The NAP readiness project has a monitoring strategy, but it needs to be implemented effectively. CCMDs documentation of learning, so improvements can be made in an adaptive manner, is virtually non-existent.
- There is also awareness of the need to promote Gender, Equity and Social Inclusion but this work is still in its infancy and pragmatic approaches are required to include women and vulnerable groups in decision-making and planning activities.
- To implement the NAP project effectively, CCMD must also engage in systems strengthening work. There needs to be a more sophisticated approach so can identify how change will happen. This is not reflected in the current Theory of Change and there are leaps in logic concerning how change will happen in Zimbabwe. In contrast, GCF appears to place a higher priority on funding projects rather than supporting the systems strengthening agenda. If this is to happen effectively then CCMD also needs to be more open to receiving technical support and assistance from UNEP.

6. Considering the foregoing, we have made the following recommendations:

7. **R1: Familiarization with systems strengthening in Zimbabwe.** CCMD are well placed to work with others to identify the weaknesses in NAP systems, and work with government departments and other entities to strengthen those systems. Systems strengthening work should identify the current interlinkages between the component parts of the NAP system. The purpose of this would be to familiarize MDAs to the current obstacles and barriers that exist in Zimbabwe, while also generating a vision as to how the NAP system could be strengthened in an incremental manner. For example, how will changes in national policy and legislation affect planning and budgeting at district levels, or how will better monitoring and learning lead to corrective action being taken.

8. **R2: Formal agreement with Meteorological Services Department.** CCMD should undertake detailed consultations with the Meteorological Services Department around the arrangements that need to be in place to improve the way hydrometric data is collected, cleaned, validated, analysed, and published. This should set out:

- Plans for sharing both raw and analysed data
- O&M plans for sustaining the national monitoring network
- Frequency and format of published data
- Commitments to share data with local communities and decision-makers

9. **R3: Face the finance challenge.** CCMD and its partners need to develop a better understanding of the true costs of NAP project interventions (hardware and software) at subnational levels. This will require dedicated technical assistance and needs to include both Capital Expenditure and the associated recurrent costs (such as Capital Maintenance Expenditure). Only then will communities and district level authorities have a clear understanding about what they are taking on. Options will also need to be developed as to how recurrent costs will be covered through tariffs, taxes, or transfers.

10. **R4: More and better local government funding for NAP implementation and O&M.** CCMD recognise the need to work with and through local government structures. CCMD

are well placed to work with district government and local structures to advocate for increased funding and resources. The logic for this recommendation is that increased district budgets will support CCMDs policy, training, and oversight role.

11. **R5: Articulation of a clear strategy for gender, equity, and social inclusion.** The strategy for GESI, such as exists, is vague and receives little attention in the current NAP document. A clear strategy is required for working with women, youths, people with disabilities and vulnerable groups. NAP processes should be gender-transformative and this will require a 'systems thinking' approach rather than assuming stand-alone training will lead to the desired societal and behavioural change.
12. **R6: Continuous learning and knowledge sharing.** The people working in CCMD, and others involved in the NAP process are key to successful climate adaptation in Zimbabwe. This means a process of continuous monitoring and learning is required so people develop their knowledge and skills. A systematic process for documenting and sharing learning needs to be developed.
13. **R7: Articulation of a clear strategy for external support.** CCMD does not possess the necessary skill sets to implement all aspects of the NAP process without external technical assistance. UNEP have supported the readiness project and are well-placed to continue this support. However, more could be done to identify areas for support and develop better collaborative working with CCMD. This is a two-way process and there needs to be clear demand from CCMD.
14. **R8: Develop a phased approach so that efforts to develop the NAP process and build resilience to climate change are aligned with SDG priorities to move people up the service ladder.** The NAP process will need to prioritise sectors and provinces that are most at risk to climate change so that it can demonstrate progress and maximise impact. This would require the Government of Zimbabwe to focus on national priorities, budget allocations, working with local government, fiscal decentralisation, and coordination of key sector players.
15. The report has been subject to an independent validation exercise performed by UNEP's Evaluation Office. The performance ratings for the UNEP/GCF Readiness Project "Building capacity to advance National Adaptation Plan Process in Zimbabwe" set out in the Conclusions and Recommendations section, have been adjusted as a result. The overall project performance is validated at the '**Moderately Satisfactory**' level. The Evaluation Office has found the overall quality of the report to be '**Moderately Satisfactory**' (see Annex XIII).

# 1 Introduction

16. This is the Terminal Review Report of the National Adaptation Planning (NAP) readiness project in Zimbabwe. The readiness project has been supported by the Green Climate Fund (GCF) based in South Korea and the United Nations Environment Programme (UNEP) based in Nairobi, Kenya being its delivery partner. The primary focus of the readiness project is twofold. First, to build national capacity and processes, so Zimbabwe is better placed to engage with GCF and attract further external finance for climate change adaptation projects. Second, to mainstream adaptation priorities into national plans and budgets, as well as preparing Zimbabwe to access external finance.
17. The readiness project links closely to the Paris Principles on aid effectiveness in that it encourages Zimbabwe to have full ownership of the NAP process, and Ministries, Departments and Agencies (MDAs) in Zimbabwe should harmonize their collective efforts so that climate adaptation projects are identified and prioritised. The project also places high importance on tracking progress through improved monitoring. There also needs to be mutual accountability between GCF, UNEP and the Climate Change Management Department (CCMD) in Zimbabwe for development results.
18. The Zimbabwe NAP project was approved in May 2018 and was initially expected to last 3 years. However, due to the global COVID-19 pandemic the project was extended through to 2023. Table 1 below summarises key project information.

*Table 1: Summary of NAP Readiness Project*

Project Start Date (Actual)	February 2019
Project End Date	August 2023
Number of Phases	3 (project granted two no-cost extensions due to COVID-19 pandemic)
Project Budget	\$2,886,275
Implementing Partner	Climate Change Management Department (CCMD) based within the Ministry of Environment, Climate, Tourism and Hospitality Industry.

19. The Terminal Review of the readiness project took place in July and August 2023. In line with UNEP Evaluation Policy and the UNEP Programme Manual, it is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness, and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review has two primary purposes: first to provide evidence of results to meet accountability requirements, and second to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, GCF and Ministry of Environment, Climate, Tourism and Hospitality Industry (MECTHI)]. Therefore, the review will identify lessons of operational relevance for future project formulation and implementation. The review will be of interest to a wide audience that includes UNEP, GCF, the CCMD (as part of MECTHI) and other MDAs in Zimbabwe. To that end, the review process has placed a strong emphasis on learning and reflection.

## 2 Review Methods

### 2.1 Overview of Review Methodology

20. Our review methodology was driven by a theory-based approach. The review team used multiple research methods to collect and triangulate qualitative data from a range of sources. The review was conducted in 3 key stages: Inception Phase, Data Collection and Analysis Phase, and Reporting Phase.

#### Stage 1: Inception

21. The available period for the review was reduced from 13 weeks to 8 weeks. This meant the Inception Phase was condensed to 1 week. Following commencement meetings with UNEP and CCMD, the review team undertook three discrete tasks. First, we mapped the availability of data and undertook a rapid desk review of project documents (such as strategy documents, monitoring reports and key deliverables).

22. Second, the review team conducted a mapping exercise of those primary and secondary stakeholders the review team intended to interview. The stakeholder matrix refined in separate meetings and discussions with CCMD.

23. Third, the review team developed our data collection tools, interview guides and review matrix. The remainder of the Inception Phase was devoted to developing an Inception Report in PowerPoint format. This was presented to both UNEP and CCMD on the 14<sup>th</sup> of July 2023. Shortly after a full Inception Report was submitted to UNEP in Word format.

#### Stage 2: Data Collection and Analysis

24. Our country visit to Zimbabwe took place from 15<sup>th</sup> to 31<sup>st</sup> July. It provided a valuable opportunity for two members of our review team (Fortune Gomo and Oswald Dengende) to discuss the project in more detail, visit project sites and synthesize our initial findings. We took the view that it made sense to visit a wide spread of provinces and districts, especially in the knowledge that climate adaptation must take place at a local level. We focussed on visiting several project sites and meeting those institutions that were actively involved in the NAP process.

25. Our two consultants engaged closely with CCMD throughout the visit to Zimbabwe. The team used a mix of multi-stakeholder Focus Group Discussions (FGDs) as the main tool for data collection, supported by strategic Key Informant Interviews (KIIs). The team conducted in-depth discussions with stakeholders to shed light on our specific areas of inquiry for the review. These included stakeholders such as, but not limited to, relevant government MDAs at national, provincial and district levels, non-governmental organizations (NGOs), GCF and UNEP and UNDP/GEF. During these FGDs, our consultants would guide the stakeholder group through a series of questions to identify what changes (outcomes) of the most significance that occurred due to the project, the project's effectiveness in achieving those outcomes, and the likelihood of long-lasting impact. Table 2 summarises the number of KIIs and FGDs carried out, and the stakeholders involved during data collection. Annex 4 outlines the FGD and KII guide, and attendance registers for the stakeholders that attended the FGDs.

Table 2: Stakeholder KIIs and FGDs

Activity	Number of Meetings	Details
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Key Informant Interviews	9	<ul style="list-style-type: none"> <li>• UNEP (2)</li> <li>• Climate Change Management Department (2)</li> <li>• Ministry of Finance (2)</li> <li>• Lecturers from state universities: Great Zimbabwe University (1), National University of Science and Technology (2), and Chinhoyi University of Technology (1).</li> <li>• Research programme participant (1)</li> <li>• CSO (1)</li> </ul>
Focus Group Discussions (FGD)	8	<ul style="list-style-type: none"> <li>• 7 Provinces visited.</li> <li>• FGDs were held with Provincial Development Committees and District Development Committees.</li> <li>• 7 FGDs conducted in each provinces visited, and 1 with Meteorological Services Department in Harare</li> <li>• Other stakeholders interviewed include Environmental Management Agency (EMA), Office of the President and Cabinet, Forestry Commission, Ministry of Lands, Agriculture, Fisheries, Water and Rural Resettlement, Ministry of Energy, Ministry of Women Affairs, Small and Medium Enterprises, Ministry of Youth, and Ministry of Local Government, Public Works, and National Housing.</li> </ul>

26. In addition, the review team also carried out 4 *site visits* for observational data collection and took georeferenced photographs as evidence of the review. These included an agroecology project in Nyanyadzi district implemented by Tsuro Trust (CSO), 2 AWS installed at Buffalo Range and Matopos, and a visit to some of the populations affected by cyclone Idai in Chimanimani District, Manicaland Province. Table 3 below summarises these site visits.

Table 3: Observational Site Visits

Location	Number of Sites Visited	Description
Nyanyadzi District	1	Agroecology project to meet with project officers and local farmers facing climate pressures
Buffalo Range (Chiredzi District)	1	Automated Weather Station. Telemetric equipment installed to measure local weather/climate parameters
Matopos	1	Automated Weather Station. Telemetric equipment installed to measure local weather/climate parameters
Chimanimani district	1	Vulnerable populations previously affected by cyclones

27. While the country visits were taking place, our review team in the United Kingdom conducted KIIs with representatives from UNEP and continued with our desk review work. Key project documents were systematically reviewed, and the team compiled an inventory of all documents and knowledge products available and identified any data gaps.

28. For *data analysis*, the review team triangulated all data from document review, KIIs, and FGDs and analysed using a range of techniques. To ensure consistency in data analysis, our team developed a coding structure (based on the review matrix developed during the Inception phase), to organise and record evidence from document reviews, KIIs, and FGDs on an ongoing basis. This enabled us to systematically capture evidence against the review criteria and objectives in the review matrix. The review team collated, coded, and analysed in MAXQDA software, allowing us to draw out key themes, compare findings, and share them amongst team members.

29. Following the country visit, we focussed on distilling and synthesising emergent findings. An initial presentation was made to UNEP on the 10<sup>th</sup> of August and a second presentation was given to CCMD on the 15<sup>th</sup> of August. Both events provided an opportunity to discuss

our initial analysis, provide some observations on the NAP process and highlight gaps that required further information.

## 2.2 Data Collection and Review Limitations

30. There were several data collection limitations, and these are summarised below:

- The review was scheduled to begin on the 1st of June up to 31st of August but commenced late as contractual arrangements were finalised. This meant less preparation time with CCMD, and a fast-paced review overall.
- The data collection phase was fast-tracked and carried out over a period of 2 weeks because of upcoming elections in Zimbabwe on the 23rd of August 2023.
- Data collection was primarily focus group discussions and not KIIs as originally planned. This could have prevented people from being more open and meant attendees included a mix of those reached by the project and those not.
- Three of the planned meetings/visits did not take place. The first was a meeting with Practical Action, and a CSO, in Nyanyadzi/Chimanimani to discuss some of their climate interventions within communities. Second, a visit to Gweru piped water system – because the timing coincided with a political rally. Third a district-level meeting in Chegutu (Mashonaland West Province) – because the coordinating officers were called away for an emergency meeting on the scheduled day of our meeting with them.



## 3 The Project

### 3.1 Context

31. The Republic of Zimbabwe is a land-locked country in southern Africa that faces significant challenges due to climate change. Its semi-arid climate, influenced by the Inter Tropical Convergence Zone, results in variable rainfall patterns, leading to droughts and floods. These weather extremes affect key economic sectors and food security, and climate change intensifies these issues by making such events more frequent and severe.
32. Climate change impacts in Zimbabwe are disproportionately affecting smallholder farmers who make up a large portion of the Zimbabwean population (around 70%) and of which the majority are women (around 86% of all smallholder farmers). Women's reliance on natural resources for food and income, combined with their societal disadvantages, makes them particularly vulnerable to climate-induced stresses. Despite this vulnerability, women possess valuable knowledge and skills that could contribute to climate adaptation and mitigation efforts.
33. While Zimbabwe has taken steps to address climate change, including being a member of the UNFCCC and implementing policies like the National Climate Policy, challenges remain. The country's ability to implement and enforce climate change guidelines and policies is hindered by factors such as limited government capacity, lack of accessible climate information, insufficient funding for adaptation, and inadequate monitoring of adaptation efforts.
34. The NAP Readiness Project sought to address these challenges and support the Government of Zimbabwe in the National Adaptation Planning Process through the project "*Building Capacity to Advance National Adaptation Plan Process in Zimbabwe*". UNEP with GCF as a funding partner, and together with MECTHI implemented the project with the main goal of integrating climate change adaptation into national and sub-national planning processes in relevant economic and social development sectors. The project was approved in May 2018, and started in February 2019, with the planned completion date of December 2021. However, with the COVID-19 pandemic in early 2020, the project faced disruptions and had two no-cost extensions, eventually concluding in May 2023.

### 3.2 Results Framework

35. The key objective of the project was to enhance the capacity of Zimbabwe's government to advance the NAP process at both the national and sub-national levels in line with the UNFCCC NAP Technical Guidelines developed by the LDC Expert Group. The capacity-building project considered all four elements of the NAP process during the development and implementation of NAP prioritised adaptation options. These included:
  - i. Lay the groundwork for a functioning NAP process
  - ii. Support the development of key preparatory elements
  - iii. Develop implementation strategies
  - iv. Establish a robust system for reporting, monitoring, and reviewing progress
36. Expected outcomes of the project were:
  - i. Stakeholders' capacity to formulate and implement the NAP process in Zimbabwe enhanced

- ii. Background information for formulating and implementing the NAP process managed, and adaptation options prioritized
  - iii. NAP implementation resources identified and studies to inform medium-to long-term climate change adaptation investments conducted
  - iv. Monitoring, reviewing, and reporting of the NAP process in Zimbabwe improved
37. As such, project results and outputs were organised and presented according to the project components and sub-components as outlined in Table 4 following the expected outcomes. Please see Annex 7 for the full outline of the project's results framework (outputs table).

*Table 4: NAP Project Components and Sub-components*

Component	Sub-component
1. Institutional capacity for the NAP process in Zimbabwe	1.1 NAP coordination and governance structures strengthened, and stakeholders' capacity built.
	1.2 Stakeholders engaged through training and awareness campaigns, including the development of a training manual for the NAP process.
	1.3 Review national policies and plans
2. Background preparatory elements to formulate the NAP	2.1 Sustainable climate database management system to inform climate change adaptation established, including a long-term plan for operation and maintenance.
	2.2 Adaptation options appraised and prioritised
3. Funding strategy development and implementation for the NAP process	3.1 Costs of climate change adaptation mainstreaming in Zimbabwe estimated.
	3.2 Resource mobilisation strategy developed, and existing funding mechanisms revised
	3.3 Study or research programmes conducted to inform future investments in climate change adaptation across sectors.
	4.1 A monitoring and reviewing system for the NAP process established.
4. Mechanisms for monitoring, reviewing, and reporting on the NAP process	4.2 In-depth training of national government representatives and stakeholders on the NAP monitoring and reviewing system conducted.
	4.3 NAP document and communication material on NAP formulation, implementation, funding, and monitoring developed and disseminated

### 3.3 Stakeholders

38. Primary and secondary stakeholders identified are shown respectively in Tables 5 and 6. Primary stakeholders are classed as those that have high interest and high influence in NAP programme activities. One of the aims of the project is to strengthen national autonomy, which means many, if not all, of these stakeholders should be active participants in the planning process and liaising closely with CCMD. Secondary stakeholders were identified as having moderate or lower interest and influence.

*Table 5: Primary Stakeholders Identified*

Stakeholder	Level of Interest	Level of Influence
Climate Change Management Department	High	High
Project Management Unit (PMU)	High	High
Project Steering Committee	High	High

Meteorological Services Department	High	High
NAP Working Groups	High	High
Urban and Rural Local Authorities	High	High
Academic and Research Institutions	High	High
Environmental Management Agency	High	High
UNEP & GCF	High	High
Dept of Multilateral Cooperation/Finance	High	High
Community groups exposed to climate change (including women and vulnerable groups)	High	High

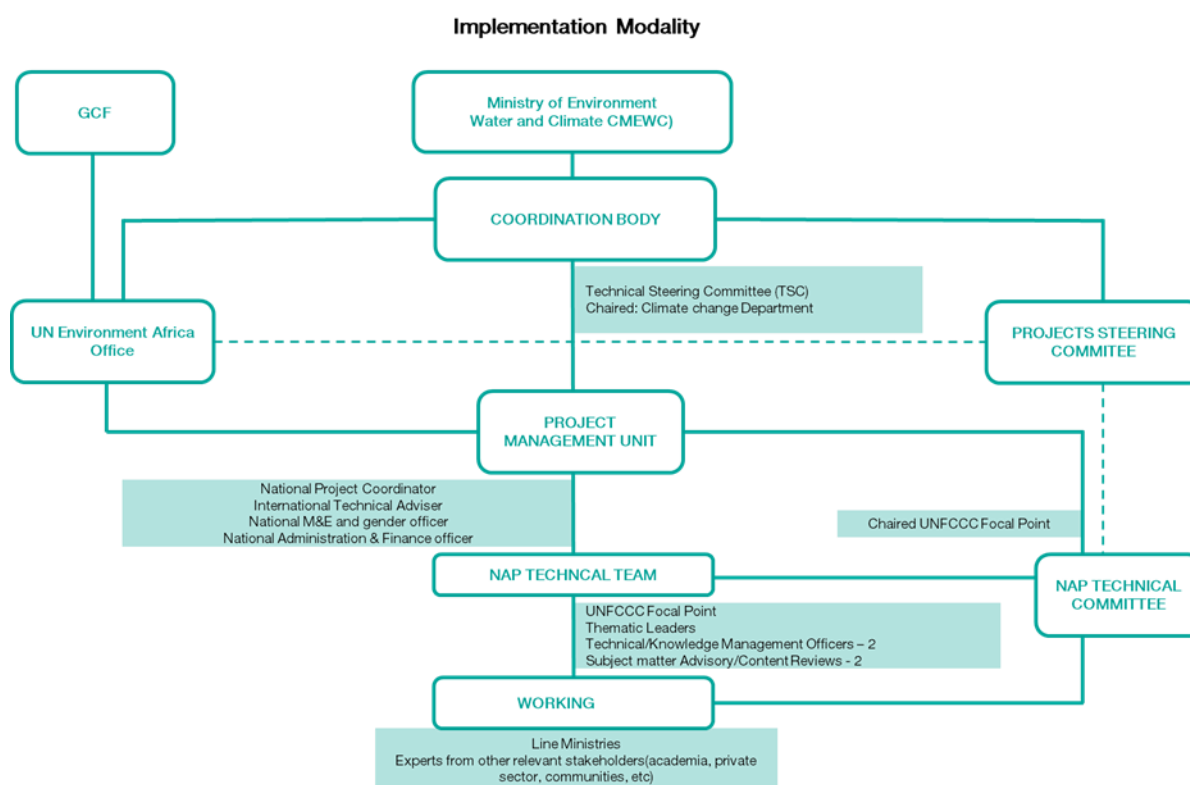
*Table 6: Secondary Stakeholders Identified*

Stakeholder	Level of Interest	Level of Influence
NDC Steering Committee	Moderate	High
Climate Change Working Groups	Moderate	High
Vulnerable populations	Moderate	Moderate
Rural and Urban Communities	Moderate	Moderate
INGOs and NGOs	Moderate	Moderate
UNDP	Moderate	Moderate
Media Houses	Moderate	Moderate

### 3.4 Project Implementation Structure and Partners

39. The project management structure is shown below in Figure 1. The NAP process was implemented via a Project Management Unit, which included permanent members of CCMD, though not necessarily with specialism in all aspects of the NAP process.

Figure 1: Project Implementation Structure and Partners<sup>2</sup>



### 3.5 Changes in Design during Implementation

40. Several contextual changes occurred during the implementation of the Readiness project and these influenced shifts in project design and implementation. Three stand out. First, in September 2020, the Government of Zimbabwe launched the Devolution and Decentralisation Policy, which detailed the implementation framework for the devolution and decentralisation of government provisions in the national constitution of 2013. The implementation of the Policy was carried out soon after, over 2021, effectively changing government structures during project implementation.
41. Second, when the project started in 2019, CCMDs home Ministry was the Ministry of Environment, Water and Climate. However, this changed to MECHTI with the 'water' sector component moving to the Ministry of Lands, Agriculture, Fisheries, Water and Rural Settlements.
42. Third, the project started in February 2019, and was planned to end in December 2021. However, due to COVID-19 pandemic, the project activities were paused leading to two no-cost extensions over the period of implementation.
43. To the best of our knowledge, no systems analysis was conducted to ascertain how these significant structural changes and mergers have served to strengthen or weaken CCMDs capability and influence.

<sup>2</sup> RFQ\_UNEP/GCF Zimbabwe NAP Readiness Terminal Review.

## 3.6 Project Financing

44. The project was 100% funded by Green Climate Fund (GCF).

## 4 Theory of Change

45. The NAP project had a Theory of Change. It sets out the challenges the NAP project faces for all four outcome areas and describes the activities, outputs, intermediate outcomes and intended final outcomes. Several general comments were made by IOD PARC about the ToC during the inception phase, and we have found these to remain true throughout the review. They are as follows:

- It is unclear what systems thinking analysis was undertaken to identify bottlenecks and obstacles to progress
- When the ToC was designed it is unclear what power analysis was conducted and there are some hidden assumptions that CCMD can influence and leverage change
- The ToC needs to include a series of 'if', 'then' and 'because' statements so the desired transitions can be explained
- Assumptions and risks need to be included
- It is also unclear how CCMD measured its impact or how the ToC was reviewed and updated during the project implementation period

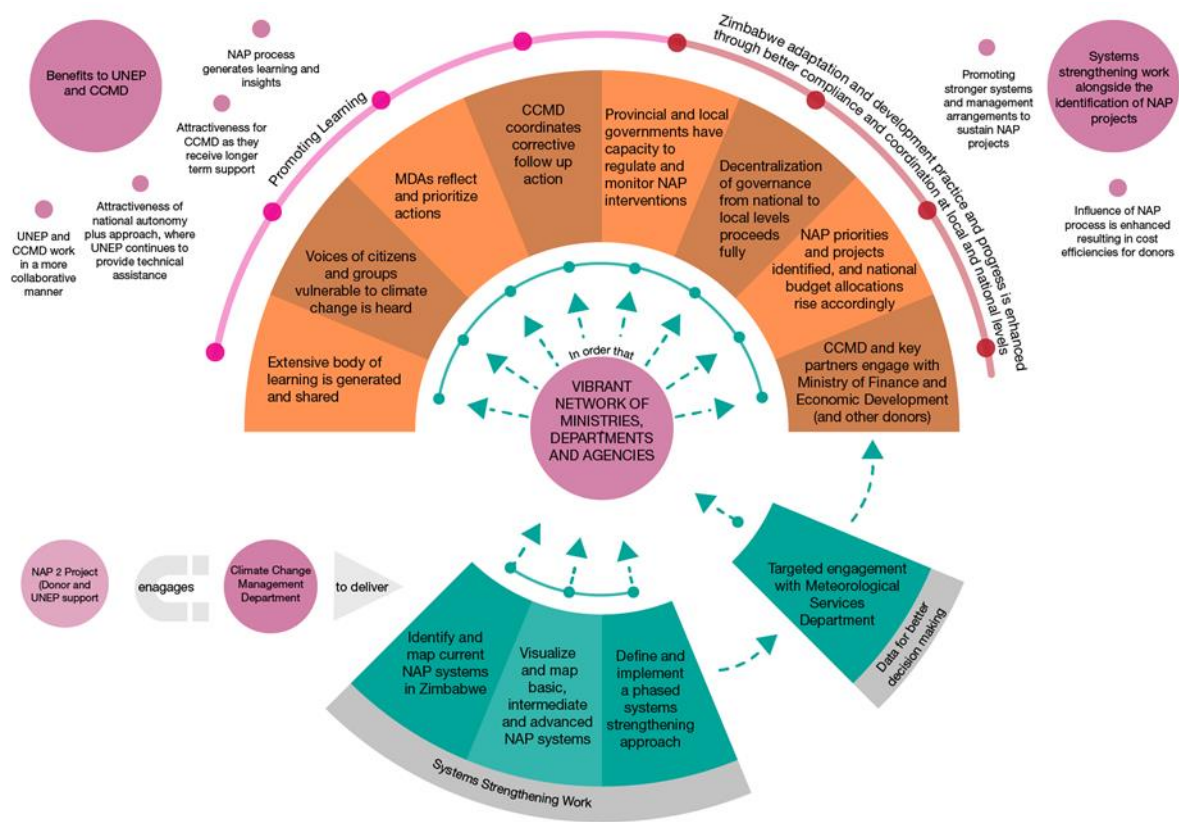
46. We believe that a better description is needed to accompany the ToC, and these would help to explain how CCMD are going to achieve the desired impact (Figure 2).

Figure 2: Current NAP Project ToC with Rationale, Assumptions, and Risks Added

<b>Challenges</b>	Limited institutional and technical capacity for advancing NAP process attributed to organizational structure and limited human resources within MoEWC and CCMD, Climate change not integrated into sectoral and cross sectoral policies, strategies and plans.	Insufficient, inaccurate and inaccessible climate information or vulnerability data to inform decision making. Insufficient collaboration between MoEWC, CCMD and other relevant ministries and research institutions.	Limited availability of adaptation finance for Zimbabwe. Existing financial resources limited in mobilisation and availability. Lack of capacity for finance allocation and management within MoEWC.	Inadequate systematic approaches to monitoring effectiveness of adaptation planning. Limited collection and dissemination of information regarding national adaptation priorities.	<b>Rationale</b> If MDAs in Zimbabwe, led by CCMD, undertakes their own 'systems thinking' analysis of the barriers to progress and potential solutions, <b>then</b> the main challenges to the NAP process will have greater political commitment and buy-in to address them.	Assumptions <ul style="list-style-type: none"> <li>CCMD possess sufficient skill to conduct systems mapping work.</li> <li>MDAs in Zimbabwe committed to identifying and addressing obstacles and barriers.</li> <li>Political support from highest levels of government.</li> <li>Local level organisations also engaged in systems analysis work.</li> </ul>	Risks <ul style="list-style-type: none"> <li>No detailed systems analysis undertaken.</li> <li>CCMD has little political leverage and limited wider support from other entities.</li> <li>CCMD has inadequate resources to influence local government levels.</li> </ul>
<b>Inventions/Inputs</b>	Establish a NAP coordination office within the MoEWC.  Upscale NAP Working Groups.  Train Working Group members and policy- and decision makers.	Systematic appraisal of adaptation options  Train technical staff from MoEWC.  Develop a climate information management system.	Identify costs of implementing adaptation interventions.  Identify new funding opportunities.	Develop a monitoring reviewing and reporting (MRR) system.  Provide training on how to use the MRR system.	If systems analysis is undertaken for all four intervention/input areas; and CCMD is open to receiving technical assistance from UNEP, <b>then</b> outputs will be high quality and process oriented.	Assumptions <ul style="list-style-type: none"> <li>CCMD, UNEP and GCF establish a close working relationship.</li> <li>CCMD has the ability to widely influence and leverage political support and buy-in for an effective NAP process.</li> </ul>	Risks <ul style="list-style-type: none"> <li>Strong focus on national autonomy means CCMD are not receptive to UNEP support.</li> <li>Outputs are limited in quality, which reduces wider impact.</li> </ul>
<b>Outputs</b>	Raise awareness of rural and urban communities  Adaptation integrated into national and sub-national development planning.  NAP process formally launched.  NAP roadmap developed	Downscaled climate scenarios.  Improved climate data quality and availability.  Priorities adaptation options.	Mapped responsibilities of research intuitions Business plans and financial models with the private sector.  Systematic review procedure.  Lessons learned from the NAP process.				
<b>Intermediate Outcomes</b>	High level political support.  Stakeholder engagement.  Effective governance structures.	Awareness on climate adaptation.  Climate information portal.	Adaptation finance strategy.  Financial resource tracking tool.  Three GCF Concept Notes.	NAP document submitted to UNFCCC.			
<b>Final Outcomes</b>	Outcome 1: Stakeholder Capacity to formulate and implement the NAP process in Zimbabwe enhanced.	Outcome 2: Background information for formulating and implementing the NAP process managed and adaptation options prioritized.	Outcome 3: NAP implementation resources identified, and studies to inform medium-to-long term climate change adaptation investments conducted.	Outcome 4: Monitoring reviewing and reporting of the NAP process in Zimbabwe improved.	Outcomes will be forthcoming because CCMD has a vision for strengthening each project component in an incremental manner.	Assumptions <ul style="list-style-type: none"> <li>Essential factors are identified for basic, intermediate and advanced NAP processes.</li> <li>GCF and UNEP support continues beyond initial 3 year period.</li> <li>Government of Zimbabwe provides support and resources to continue and sustain NAP process.</li> </ul>	Risks <ul style="list-style-type: none"> <li>No analysis of the transitions required to move from a weak system to a much stronger system.</li> <li>Limited long-term support beyond the initial 3 year period.</li> <li>Low project performance and GCF and UNEP unwilling to engage with Zimbabwe in the short to medium term.</li> <li>Slippage results in limited long term progress.</li> </ul>

47. In this ToC section we have also sketched out a future TOC through which CCMD could achieve its ambition (Figure 3). CCMD could use this as a basis for their future planning.

Figure 3: ToC for a Follow-on NAP Project





# 5 Review Findings

## 5.1 Strategic Relevance

### 5.1.1 Alignment to the UNEP, Donors, and Country (Global, Regional, Sub-regional and National) Strategic Priorities

48. The ToR for this assignment highlights the importance of responding to global and international consensus, such as alignment with UNEP and GCF strategic priorities, it stresses the importance of working with and supporting national governments, and it recognises the necessity to respond to local context, priorities, and need. Here we address each of these in turn working upwards from local to global considerations.
49. **A key strength of CCMD is they recognise that ownership of adaptation planning processes at local levels serves to improve NAP processes.**
50. Communities in Zimbabwe face an array of climate change threats. These vary spatially with some provinces and districts more prone to floods and cyclones, and others to droughts. CCMD places high importance on understanding local priorities. This fits with development planning processes in Zimbabwe which are a 'bottom-up' processes, whereby sub-national structures engage in local level planning, such as the development of Provincial Economic Development Plans that directly feed into national development planning. Building capacity at the sub-national level is strategically relevant to CCMD's work and is a high priority for them as it provides useful learning experiences and directly impacts national-level development planning.
51. **CCMD participates in national climate adaptation meetings and the project fits well with Zimbabwe's devolution agenda.**
52. CCMD are active participants in national level climate meetings and is a respected coordinating unit. This has contributed to enabling the District and Provincial Structures to embed climate change adaptation planning into the Provincial Economic Development Plans and the National Development Strategy 1 (NDS1) for 2021-2025. The NAP project is also aligned with the National Climate Policy (2017) and National Climate Change Response Strategy (2014).
53. **The NAP project fits well with international accords.**
54. At global level, Zimbabwe is a signatory to the UNFCCC and other global climate agreements. Building the capacity of Zimbabwe for National Adaptation Planning contributes to the nation's effective participation in the agreements and in dealing with climate change impacts. The NAP project objective is aligned with GCF Strategic Priorities (2020-2023) which focus on empowering developing countries to identify, design, and implement projects and programmes that support a paradigm shift in the areas that will have the greatest climate impact. The project is also aligned with the Bali Strategic Plan for Technology Support and Capacity Building.
55. Performance rating = HS

### 5.1.2 Complementarity/Coherence<sup>3</sup> with Relevant Existing Interventions

56. **The NAP project does complement other climate adaptation initiatives, but it has not been able to leverage new funding.**

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<sup>3</sup> This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

57. The NAP project is coherent with other initiatives implemented by the Government of Zimbabwe and their development partners. Examples of coherence with other interventions include the Zimbabwe Resilience Building Fund (ZRBF), work being implemented through the United Nations Development Programme and GCF, as well as the Smallholder Irrigation Revitalization Programme and the Pfumvudza farming programme that aims to support 1.6M smallholders.

58. Performance rating = S

## 5.2 Quality of Project Design

59. **A constraint on project design is the ability of CCMD to address all appraisal criteria.**

60. GCFs project design framework includes 12 appraisal criteria<sup>4</sup>. These criteria have a wide focus covering multiple aspects, from Theories of Change, financial planning, and results-based management. CCMD has in-house specialists, but they do not necessarily cover all these criteria. This inevitably limits the capacity for effective project design and implementation as part of the NAP process.

61. In Table 7, ratings are provided against each element of GCFs project design framework using a simple ‘traffic-light’ scale.

Table 7: Rating the Quality of Project Design

Appraisal Criteria	Rating	Brief Comment
Country Ownership	Green	High score reflects strong national autonomy
Theory of Change	Yellow	Weakness in understanding ‘how change happens’
Avoidance of Duplication of effort	Yellow	Implementation through existing government structures
Gender considerations (GESI)	Yellow	Acknowledges Gender Equality and Social Inclusion (GESI) but does not systematically address inequalities
Private sector investment strategy	Yellow	The Adaptation Finance Strategy (AFS) provides strategies for tapping into private finance but need to be acted on
Monitoring and review	Yellow	4 Project Steering Committee held, and annual progress reports submitted
Complementarity and coherence with other funds	Green	Strong complementarity with government and other donor funded projects
Stakeholder engagement	Yellow	Follow up support is a weakness
Plan to address specific vulnerabilities and climate impacts	Green	Sector specific climate adaptation options formulated, appraised, prioritised, and budgeted for
Adaptation financing strategy	Yellow	Identify the various sources of climate finance but lacks clarity on how to tap into some of these sources e.g., Private Finance
Budget and procurement	Green	The budget was approved by GCF, including the no-cost extensions, and procurement was supported by UNEP. There was no deviation from the approved budgets
Results-based management	Yellow	Still work in progress and links to systems strengthening work.

<sup>4</sup> GCFs 12 appraisal criteria, sit alongside its 6 investment criteria that include: impact potential, paradigm shift, effectiveness and efficiency, country drivenness, sustainable development and needs of the recipient.

62. Performance rating = MU

## 5.3 Effectiveness

### 5.3.1 Availability of Outputs

63. **Each of the 4 project components had documentary evidence of the project's outputs.**

64. CCMDs training and support is considered to have been of good quality and well-received by participants. Together with the relevance of the NAP process this represents a strength of the project. The review team summarise the project outputs below, and a detailed assessment of the project outputs has been outlined in Annex 7.

65. **Component 1:** Institutional capacity for the NAP process in Zimbabwe. Several reports provide evidence of training and sensitisation of parliamentarians, provincial secretaries and the Provincial and District Development Committees, i.e., NAP Working Groups as well as Officers from government agencies and ministries.

66. **Component 2:** Background preparatory elements to formulate the NAP: The project laid out the groundwork, and the outputs were, climate projections, the climate management database, a climate change information portal and the 6 new Automated Weather Stations (AWS) installed. However, 10<sup>5</sup> AWS were planned, 6 were installed, and 5 were working, with 1 having been vandalised at the time of the review. In addition, background reports on gap analysis and vulnerability assessment were carried out during the project implementation.

67. **Component 3:** Funding strategy development and implementation for the NAP process: This component was achieved but. However, the initially planned business plans were not developed due to the revised no-cost-extension to GCF owing to the fact that the private sector business plans cannot be developed by an outsider. The proposal was to develop an adaptation finance strategy with a chapter on the role of the private sector in adaptation finance.

68. **Component 4:** Mechanisms for monitoring, reviewing, and reporting on the NAP process: The operational monitoring, reviewing, and reporting system for the NAP was developed. The National Monitoring and Review Policy (2020) has the monitoring of climate change mainstreaming embedded into national M&E processes, so this project did not carry out a policy amendment activity to include NAP M&E in the policy to avoid duplication of effort.

69. Performance rating = MS

### 5.3.2 Achievement of Project Outcomes

70. In short country visits it is difficult to judge the quality of project outcomes, however, there are some common issues arising from all our provincial and district-level data collection. Project outcomes and intermediate outcomes are shown below with our findings following.

#### Outcome 1: Stakeholders' capacity to formulate and implement the NAP process in Zimbabwe enhanced

*Intermediate outcomes:*

- i. High-level political support
- ii. Stakeholder engagement

<sup>5</sup> While 10 AWS were planned, the budget available was for 5 AWS and 6 were installed by the project (UNEP feedback during preliminary findings meeting)

**71. There is significant scope to improve the way that training is applied.**

72. The project garnered high levels of political support and buy-in as it was able to engage with a variety of stakeholders from key sectors across the country. This included those at provincial and district levels, including the Ministry of Finance and Economic Development, and the Office of the President and Cabinet. One of the immediate results of the training programme was the embedding of climate considerations into Provincial Economic Development Plans, which in turn fed into the National Development Strategy-1 (NDS1) for 2021-2025, thus aligning it with other government-led interventions such as the Pfumvudza Agricultural Programme and the Build Back Better Programme. However, the extent to which the political support will stay or influence the formulation and implementation of the NAP process is unclear.

73. Individuals and institutions also need support to apply the knowledge and training given by CCMD. A constraint on effectiveness is that the NAP process at sub-national levels was focused on providing education and training to key individuals, rather than considering 'how' the training will be applied and disseminated in practice. While the individuals trained represented some of the key sectors when it comes to climate adaptation, the high levels of attrition in MDAs make it difficult for the stakeholder institutions to retain the capacity built through the project. As one respondent stated:

*“There should have been deliberate planning in terms of down streaming the capacity built at provincial level to where implementation is actually done.” FGD participant, Matabeleland South Province*

74. In addition, the period available for training was often short and provincial and district offices ubiquitously lack the financial and human resources to promote awareness, train others and enable the wider adoption of good adaptation practices. Individuals trained at provincial and district levels do not have revised job profiles and if they move on there is a loss of expertise and institutional memory. Furthermore, CCMD does not have a presence at provincial and district levels which means there is little opportunity for refresher training or day-to-day engagement on these important issues. One respondent suggested:

*“The 1-day engagements attended by DDC members gave an opportunity to see the gaps and opportunities in the districts ...but 1 day was not enough. There needs to be follow-up to those meetings... There’s a need to cascade training to lower levels – 5 people trained in this programme cannot cover the whole province.” FGD Participant, Manicaland Province*

**75. The decentralisation of climate adaptation governance from national to local levels is lacking.**

76. It will take time for institutions at provincial and district levels to grow so they can develop their full capacities to implement NAP processes. CCMD currently have no presence in provinces and districts, which hinders their ability to fulfil their mandate. This means there are inadequate financial and human resources to implement the NAP process locally. One interviewee stated:

*“...from a planning perspective we don’t have a climate change focal person like we have for gender mainstreaming in every ministry or province.” FGD participant, Masvingo Province*

**Outcome 2: Background information for formulating and implementing the NAP process managed, and adaptation options prioritised**

*Intermediate outcomes:*

- i. Awareness of climate adaptation
- ii. Climate information portal

**77. Awareness of climate adaptation at community and local levels appears limited.**

78. The project managed to build awareness of climate adaptation across different levels of government from the national to the district level. MDAs that were involved with the project feel they can now engage with communities in climate adaptation activities. However, they felt more was needed to engage with Local Authorities and Traditional Leaders for more widespread capacity building and NAP processes to be more effective. In addition, stakeholder engagement and climate change mainstreaming training needed to be continuous and cascade to more stakeholders at the different levels of government to increase awareness. This reflects the limitations in capacity that local government possess to ensure continuity.

79. Having said that, the scope, budget, and duration of the project could not have achieved such broad and widespread engagement, and there needs to be an assessment as to 'how broad' awareness campaigns need to go, and a strategy on how this can be achieved for a more effective NAP Readiness project in the context of Zimbabwe. Stakeholders stated that awareness alone was not enough if not accompanied by resources and strategies for effective adaptation action:

*“We also need climate financing to implement some of the (adaptation) projects. e.g., the city council is aware of the impact of their burning garbage – but they say they don’t have the resources to implement alternative waste management options. This also applies to communities that need alternative livelihood options to reduce natural resource exploitation.”* FGD participant, Matabeleland South Province

**80. The installation of new Automated Weather Stations is an indication of Zimbabwe’s determination to monitor climate impacts at key locations.**

81. The project installed 6 AWS across Zimbabwe, bringing the total of AWS in the country to 112. However, only 3 of the 6 instruments were transmitting data to the Meteorological Services Department (MSD) at the time of the review due to telemetry problems. One of the newly installed AWS had been vandalised at the time of our visit, rendering it non-functional.

82. According to the MSD, the country needs a total of approximately 350 to 400 AWS to establish an effective weather station network across the country and has the most notable gap in the northern part of the country. In our view this would be a very extensive network and there should be a stronger focus on processing and using data before the density of instrumentation is increased.

**83. Arrangements for processing and publishing climate information need to be strengthened.**

84. Technology and instrumentation installed (such as AWS) will serve a limited purpose if data is not collated, cleaned, validated, analysed, and published so that it leads to better decision-making. The MSD reported that they were unable to access the AWS data in a timely way because it is transmitted to a server that is not connected to the climate database management system (Climsoft Plus) developed under the project. This means they must access the data manually, which presents additional limitations and delays.

*“When data comes it goes to the server...and as we speak the data coming from the AWS is sitting in the server. If we want to access the data, we must do it manually. But the challenge is that our IT guy must be in daily, which is not always possible...”* FGD participant, MSD Harare

85. In addition, the MSD has limited data integration capacity, which limits their ability to translate climate data into meaningful insights for decision-making. While they have strengthened forecasting capabilities for shorter time scales through real-time systems, AWS, digital stations, radar, and GIS (Geographic Information Systems), there remains a requirement to build capacity for long-term forecasting, and to build capacity to effectively



integrate data from these diverse sources. There is also a notable scarcity in human resources with expertise in Numerical Weather Prediction Modelling to build a local area model, and general understaffing challenge with the MSD, which is reportedly currently operating at 50% staff capacity across various divisions.

86. Furthermore, the review team were unable to access the Climate Information Portal (data repository) and there is no evidence of data being shared at the provincial and district levels. The institutional and financial resources to maintain, repair and replace technology are also lacking. It is our understanding these concerns were also raised by UNEP but were not addressed.

**Outcome 3: NAP Implementation resources identified, and studies to inform medium to long-term climate change adaptation investments conducted**

*Intermediate outcomes:*

- i. Adaptation finance strategy
- ii. Financial Resources Tracking Tool
- iii. Three GCF Concept Notes

**87. Adaptation Finance Strategy and Financial Resources Tracking Tool developed.**

88. The project developed the Adaptation Finance Strategy (AFS) to guide the mobilisation of funding from public and private sources and to guide the development and promotion of innovative financing mechanisms. It estimates the amount of money needed for adaptation, identifies potential funding sources and strategies to mobilize funding for the implementation of adaptation actions in Zimbabwe. Zimbabwe’s NAP cost estimate for adaptation is USD 10.310 billion for the period 2023 to 2030 (Table 8), translating to an annual requirement of USD 1.288 billion. The cost breakdown in terms of adaptation cost per province is provided in Table 9.
89. Several observations are pertinent here. First, the amount of money identified represents a significant uptake in adaptive finance for Zimbabwe. In an era when a lot of donor financing is reducing it is highly uncertain what is the likelihood of Zimbabwe securing such large amounts of funding.
90. Second, this finance represents Capital Expenditure only (hardware and software) and significant amounts of recurrent revenue (such as Capital Maintenance Expenditure) would be required to sustain infrastructure projects indefinitely. The sufficiency of recurrent funding is fundamental to progress, and it is unlikely this has been assessed in detail.
91. Third, a phased approach would be more useful in which priority is given to sectors and provinces that are most at risk to climate change threats and will serve to move people up the service ladder. This would ensure that ongoing climate adaptation work is aligned to the achievement of the SDGs.

*Table 8: Quantifiable Adaptation Cost per Sector*

Sector	Amount (USD)
Agriculture	4.77 billion
Water	3.55 billion
Health	500 million
Infrastructure	160 million
Human Settlements	1 billion
Forestry and Biodiversity	120 million
Tourism	210 million

Total	10.31 billion
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**Source: Adaptation Finance Strategy**

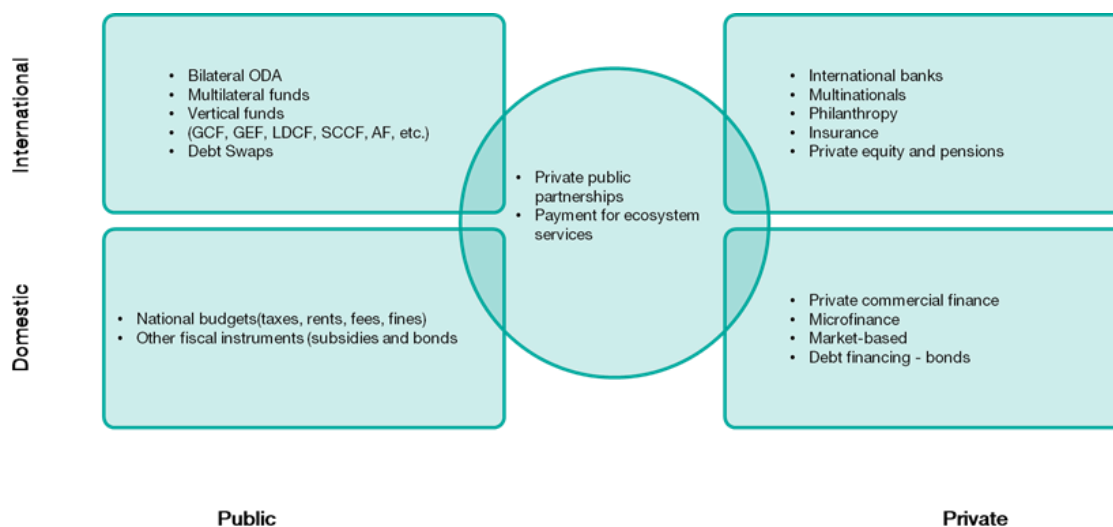
Table 9: Adaptation Cost per Province (2023-2030)

Province	Amount (USD)
Bulawayo Metropolitan	224.8 million
Harare Metropolitan	222.7 million
Manicaland	1.1495 billion
Mashonaland Central	1.058 billion
Mashonaland East	1.0265 billion
Mashonaland West	997.5 million
Masvingo	1.3695 billion
Matebeleland North	1.3865 billion
Matebeleland South	1.472 billion
Midlands	1.403 billion
Grand Total	10.31 billion

**Source: NAP Document**

92. The AFS explores innovative funding sources to support implementation of Zimbabwe’s adaptation priorities. These funding sources are presented in Figure 4.

Figure 4: Schematic Diagram of Climate Funding Sources<sup>6</sup>



93. The project developed training toolkits to build capacity of relevant government stakeholders in the implementation of the adaptation finance strategy. Specifically, the toolkits pride guidelines on how to mobilize public, private, and international financial resources by identifying financial vehicles and instruments to support climate projects investment.

94. The project developed three concept notes. These concepts notes pertain to the following:

<sup>6</sup> Adaptation Finance Strategy

- (1) Strengthening Climate Information Services and Multi-hazard Early Warning Systems to Enhance Resilience of Vulnerable Communities in Southern and Western Zimbabwe
- (2) Greening the Tourism Industry in Zimbabwe with a focus on the Zambezi Basin
- (3) Building Low Carbon Climate Resilience among Smallholder farmers through the Dambo Wetlands in Zimbabwe

**Outcome 4: Monitoring, reviewing, and reporting of the NAP process in Zimbabwe improved**

*Intermediate Outcome:*

- i. NAP Document submitted to UNFCCC.

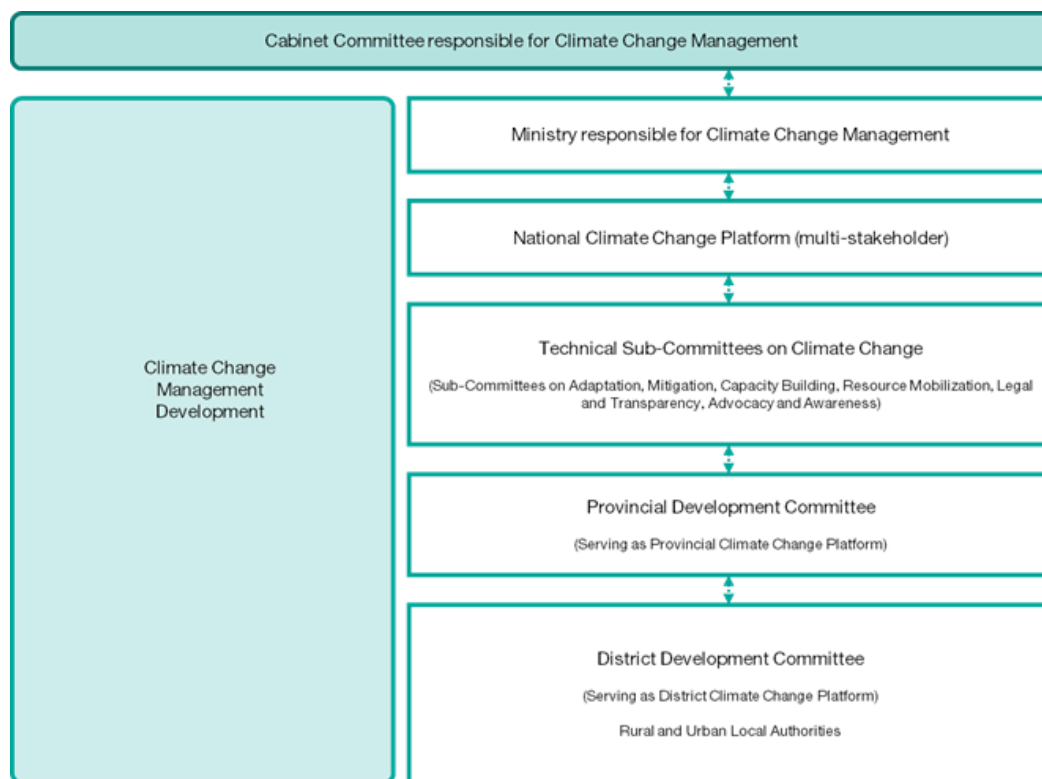
**95. A monitoring, reporting, and reviewing system for the NAP process was established, institutionalised, and in-depth training conducted.**

96. The project developed the M&E system to monitor and track the progress towards the achievement of the National Adaptation Plan and carried out in-depth training of all relevant stakeholders (Figure 5). A total of 56 national indicators were developed for tracking progress achieved in the implementation of adaptation interventions in reducing vulnerability, improving adaptive capacity, and supporting the overall well-being of populations affected by the impacts of climate change. The information generated through tracking and measuring the impact of adaptation processes is used to build broader political and financial support for adaptation, in addition to supporting continuous learning on adaptation, in all sectors.

97. The monitoring, reporting, and reviewing system has been institutionalised by building it in the Results Based Management System in the National Monitoring and Review Policy (2015). All institutions, ministries, agencies, and organisations implementing NAP activities are expected to prepare and submit progress or implementation assessment reports to CCMD, and the overall responsibility for implementation of the M&E System lies within the Ministry responsible for Climate, specifically CCMD.



Figure 5: Institutional Arrangements for the NAP Monitoring and Review System<sup>7</sup>

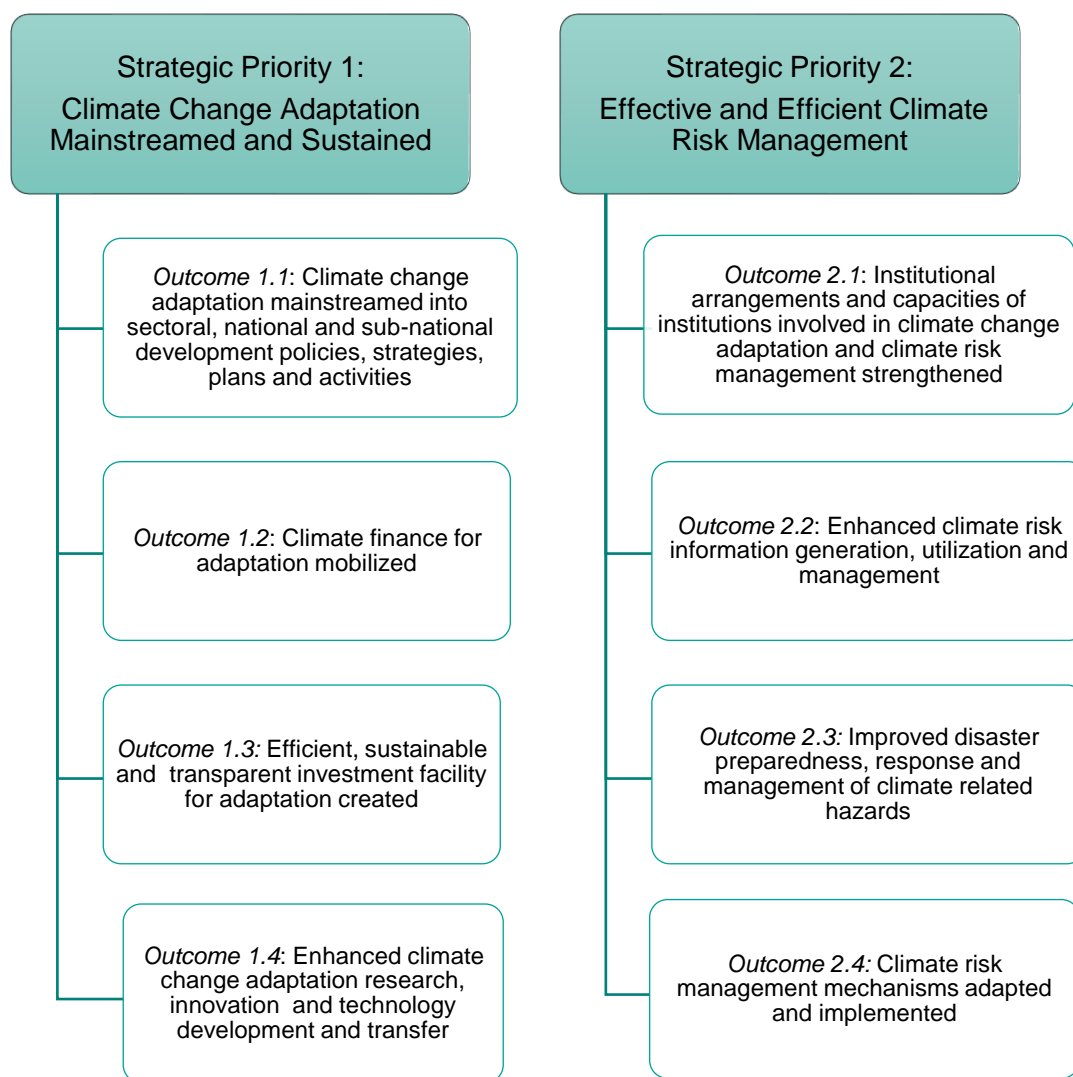


98. **NAP Document has been drafted and will be owned by CCMD.**

99. The NAP document has been drafted and signed off at the time of writing this report. The confirmation of the launch date and submission to UNFCCC are pending. The NAP document specifies two Strategic Priorities leading to eight specific national sub-priority outcomes identified through a consultative process with stakeholders (Figure 6).

<sup>7</sup> Draft NAP Monitoring and Review System

Figure 6: Strategic Priorities and National Outcomes for the National Adaptation Plan<sup>8</sup>



Source: Draft NAP Monitoring and Review (M&E) system

100. Performance rating = MU

### 5.3.3 Likelihood of Impact

101. **Intended project impacts:** Integrating climate change adaptation into national and sub-national planning processes in relevant economic and social development sectors was expected to have the following impacts<sup>9</sup>

- i. *Promotion of climate resilient development as well as the vulnerabilities of economic sectors and populations are addressed.*

102. At **national level** the NAP process has achieved impact. There is evidence of increased awareness of climate change, collaboration across different MDAs and climate change adaptation being incorporated into national budget allocations.

<sup>8</sup> Ibid

<sup>9</sup> RFQ\_UNEP/GCF Zimbabwe NAP Readiness Terminal Review

103. At **provincial and district level** CCMD works with local government to deliver training, but rarely works through them or in a way which is led by them. This is because CCMD has no staff representation at provincial and district levels to coordinate and drive climate adaptation processes. This means they cannot implement the NAP process in a systematic way because CCMD has no effective network across the country. Measuring impact also requires a process of learning and reflection and CCMDs documentation of impact at community level is virtually non-existent.

104. It is likely that the individuals that received training (5 for each province) will consider climate impacts when planning at sub-national level. However, it is difficult to see how 5 capacitated individuals at provincial level will be able to effect wider impact without a clear strategy and resources to do so. In addition, the frequent changes in personnel within MDAs means there is high risk of provinces losing those that were trained, leaving them without the capacity to mainstream climate change into adaptation planning at all.

*“...ongoing capacity building at provincial and district levels for new officers because there is a lot of attrition in the public sector.” FGD Participant, Manicaland Province*

105. The rest of the MDAs that received sensitisation and awareness raising engagements may now be able to understand the importance of climate change considerations in planning, but it is unlikely they will be able to translate their awareness into concrete development planning that incorporates climate change considerations.

106. **Climate mainstreaming and adaptation activities/interventions may impact women and vulnerable groups.**

107. Women and vulnerable groups often depend on natural resources for their livelihoods, for example selling firewood, engaging in wetland/streambank cultivation, and participating in artisanal mining. Concerns have been raised by some stakeholders that adaptation initiatives could potentially undermine these livelihoods. It is essential, therefore, to carefully consider trade-offs and develop alternative livelihood options or sustainable approaches to resources utilisation as part of (national) adaptation planning. This approach would enable the effective planning and implementation of climate adaptation measures, avoiding scenarios where these livelihoods are compromised, or the overall effectiveness of the interventions is diminished.

*ii. Increased support for the mainstreaming of climate change adaptation into policies, strategies, and plans through enhanced stakeholder capacity.*

108. **Support for climate change mainstreaming has been realised in key national and subnational government structures (MDAs)**

109. One of the immediate impacts of the stakeholders' enhanced capacity through the project was the climate mainstreaming in Provincial Economic Development Plans (PEDPs) that were developed in each of Zimbabwe's 10 provinces. Seven thematic areas for economic development were identified, and climate considerations were included for all of them, as well as the inclusion of climate change as a crosscutting issue affecting economic development. The PEDPs were then aggregated and directly fed into the development of the NDS-1 (2021-2025).

110. Climate mainstreaming has also been realised in the GoZ's Monitoring and Review Policy of 2020, as well as in national budgeting, where the Ministry of Finance and Economic Development was actively engaged with during the project. An Adaptation Finance Strategy has been developed and a Finance Tracking Tool has also been developed to track climate finance flowing into the country from all sectors.

*iii. Effective dissemination of climate change adaptation finance for vulnerable populations, economic sectors, and regions, through increased coordination among relevant ministries and partnerships with private sector*

111. There is evidence of increased coordination among relevant ministries and climate mainstreaming in budgeting. In addition, the Adaptation Finance Strategy outlines the estimated amount of money needed for adaptation between 2023-2030 for each of the key economic sectors, and for each of the 10 provinces. However, it is unclear whether there is or will be effective dissemination of climate finance for vulnerable populations, and economic sectors. The inclusion of women and vulnerable groups, while important, recognised and acknowledged, was not carried out in a systematic way for their effective inclusion in climate adaptation planning.

112. Performance rating = MU

### 5.3.4 Adaptive Management

113. The project has needed to be adaptive to both the effects of COVID-19 as well as the government's own structural changes. The project started in 2019 and was meant to end in 2021. It was impacted by COVID-19 and was paused. The project was then extended to December 2022, and again to May 2023. Due to COVID-19, the effectiveness of the training programme, and the Training of Trainers' approach were not as effective as planned. There was a lack of cascading of the training from the 5 provincial members trained across their provinces, districts, and communities.

114. Performance rating = MS

## 5.4 Financial Management

115. We have not undertaken rigorous analysis of financial management in this assignment, as we understand this aspect is being covered by the Auditor General's Office in Zimbabwe. However, we have listed some general findings below and in the following Section 4.5.

116. **Bank charges are significant.**

117. We have noted that bank charges stand at \$19, 648 (USD) and may increase. While bank charges are to be expected these appear quite excessive and it would be helpful to see how these compare to other development projects.

118. **Programme management costs accounted for around 9% of the programme spend.**

119. The budget provided in the terms of reference shows that \$246,600 (USD) was spent on programme management, from an overall programme spend of \$2,634,100. This figure excludes contingency costs and delivery partner fees. This appears to represent good value for money for programme management (<10%) but it would be important to see what specific management tasks were performed.

120. **Specialist consultancy fees accounted for nearly half of the budget.**

121. The programme spent \$780,500 (USD) on specialist national consultants and \$325,000 on international consultants. This equates to more than 45% of the programme budget. It is unclear how the consultants have supported or shaped the way CCMD works beyond training workshops. However, we recognise the consultants will have brought a wide range of experience and expertise that contributed to new learning and knowledge.

122. Performance rating = MS

## 5.5 Efficiency

### 5.5.1 Cost Effectiveness

123. A significant amount of work was undertaken with the assistance of consultants. This may well have been necessary because of the specialist nature of the training. We note that while the cost and quality of the training workshops may have been high, there was less consideration for how learning would be applied in practice. In our opinion some of the project funds could have been set aside so that training was applied, and forward momentum maintained.

### 5.5.2 Timeliness

124. Project activities were directly affected by COVID-19, resulting in two no-cost extensions. However, generally, most activities under the project were completed on time under the revised timelines; with some of the planned activities facing delays during implementation. Some delays in delivering outputs were due to delays with delivery partners such as national and international consultant, and technical verification processes from UNEP<sup>10</sup>. Notably, the research programme with the state universities generally faced some logistical challenges and lengthy ethics approval processes as reported by the lecturers who facilitated the programme, resulting in shortened data collection times by the participants of the research programme.

### 5.5.3 Use of/building upon pre-existing arrangements and complementarities with other initiatives, to increase project efficiency

125. The project made use of existing government structures, working with PDCs and DDCs, and establishing them as the climate change working groups. The project also collaborated with state universities and their existing structures to conduct the training programme within the project.

126. The project was complementary and built on existing government programmes in Zimbabwe, including the Building Back Better (instituted after cyclone Idai, and COVID-19), the Pfumvudza agricultural programme – which promotes conservation farming and small grain production, as well as other programmes implemented in the provinces, and the line ministries and their departments responsible for water, energy, agriculture, environment, infrastructure development, civil protection, human settlements, women affairs, youth, etc. The project also aligned with CSO activities in the provinces and districts, e.g., Tsuru Trust implementing agroecology projects in the Manicaland province.

127. Performance rating = MU

## 5.6 Monitoring and Reporting

### 5.6.1 Monitoring at Country Level

128. **It is unclear how programme monitoring data is collected, analysed, and acted on.**

129. The national monitoring framework uses 56 separate indicators in relation to NAP. Here The review team make the following observations:

- It is unclear how CCMD will support data from multiple MDAs to be collected, analysed, and acted on

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<sup>10</sup> Minutes of NAP Readiness Board Fourth Project Steering Committee Meeting

- Most of the indicators are quantitative, which limits their information value
- Indicators are primarily at the output level
- None of the indicators related to people are disaggregated by gender or other dimension
- The indicators are not strategic indicating progress towards some higher-level ambition

Performance rating = MU

## 5.6.2 Project Reporting, including at Country Level

130. The project developed a structure to report and monitor progress on project implementation. The project established the Project Steering Committee (PSC) which had representation from different institutions and organisations including the Parliament of Zimbabwe, Office of the President and Cabinet, Research Organisations, Universities and various government ministries and agencies. The PSC was co-chaired by the CCMD and UNEP. The PSC reviewed activity reports and annual work plans and budgets and assessed the delivery of outputs and made recommendations to improve project implementation. In total, 4 PSC meetings were held during the project implementation period. In addition, Annual Progress Reports (APRs) were developed by the Project Coordination Office under CCMD and submitted to UNEP for review. These mechanisms proved to be adequate to monitor progress at project level.

131. Performance rating = MS

## 5.7 Sustainability

132. **The main threats to the sustainability of the NAP process relate to the ability to sustain initial interventions by CCMD.**

133. In an environment where CCMD has no presence at provincial and district levels, and local government does not have the requisite financial resources, skilled personnel, and equipment this poses major challenges. CCMD has provided useful training to a small number of provincial staff (5 per province). This training may increase awareness and knowledge of climate change, but it will never be fully effective without such investment of people and resources; and it will take time for provincial and district government entities to grow and develop experience and ability in climate change adaptation.

### 5.7.1 Institutional, Socio-political and Financial Sustainability

134. **Institutional and Financial Sustainability are major challenges.**

135. Improved institutional performance is at the heart of good governance and climate change adaptation. Despite providing training to select individuals and their institutions there is little evidence that CCMD has the leverage or capacity to provide additional human, equipment, and financial resources, or change the way institutions work and behave. Thus, their focus has been on providing training and awareness raising, rather than impacting on how new learning and knowledge will be applied in practice. Climate change training is relevant, but this is not institutional reform to ensure sustainability of NAP processes. Furthermore, there has been no analysis by CCMD as to what essential climate adaptation functions provincial and district level institutions need to perform routinely.

*“CC mainstreamed in budgeting alone is not enough, without the financial resources to back it up. Planning and budgeting complement each other,” FGD participant, Masvingo Province*

136. Regarding socio-political issues this seems to be a new area for CCMD and a departure from their normal work. From the Theory of Change, there is little evidence there is a clear understanding how socio-political issues can be raised and promoted with the higher echelons of government. In our judgement CCMD lacks the skillset to undertake this advocacy and influencing work. This is not a criticism but reflects the wide range of skills required for systems strengthening work.

137. The Zimbabwe NAP process has been funded entirely by GCF and there are two examples of new streams of funding being provided by the Ministry of Finance and Economic Development to sustain interventions and the wider NAP process. The principal role of CCMD is to help identify bankable projects and leverage new funding streams. A key factor in financial sustainability is adequate recurrent finance as well as Capital Maintenance Expenditure (CAPMANEX). This is required to replace infrastructure when major breakdowns occur or to replace equipment that is damaged or stolen (such as Automated Weather Station instrumentation). Although there is clear recognition of the need for project sustainability<sup>11</sup>, it is not clear how the NAP process will be financed beyond this project and within the National Monitoring Plan there are no performance indicators for measuring financial sustainability.

138. Performance rating = MU

### 5.7.2 GCF Investment Criteria

139. A key outcome of the NAP readiness project is that countries, like Zimbabwe, can develop and submit high quality project proposals to GCF. Submitting relevant and bankable project proposals to GCF requires 6 investment criteria to be considered. These are as follows: impact potential, paradigm shift, effectiveness and efficiency, country drivenness, sustainable development and needs of the recipient. It is our understanding that these criteria have been reviewed and updated by GCF since the Zimbabwe NAP readiness project commenced.

Table 10: GCF Investment Criteria

GCF Investment Criteria	Comment
Impact Potential	<p>The NAP Readiness project has resulted in several immediate impacts. This includes climate mainstreaming in PEDPs and in the NDS1. In addition, the development of the Finance Tracking Tool and the inclusion of climate in the national Monitoring and Review Framework have the potential to enhance national adaptation planning. However, gaps still exist as discussed in other sections of this report and this suggests a potential hindrance to impactful outcomes of the NAP Readiness project.</p> <p>In addition, there was capacity development in identifying wider bankable climate mitigation projects to attract climate finance. Zimbabwe prepared three project concept notes for GCF during the NAP Readiness Project implementation. They cover the following thematic areas with the amount of funding requested shown in brackets:</p> <ol style="list-style-type: none"> <li>1. Strengthening Climate Information Services and Multi-hazard Early Warning Services to Enhance Resilience of Vulnerable Communities in Southern and Western Zimbabwe (\$20,000,000).</li> <li>2. Greening the Tourism Industry in Zimbabwe with a focus on the Zambezi Basin (\$15,500,000).</li> </ol>

<sup>11</sup> Ibid



3. Building Low Carbon Climate Resilience through Smallholder farmers through the Dambo wetlands in Zimbabwe (\$9,680,000).

During the review respondents highlighted that many different organisations and institutions in Zimbabwe wish to submit proposals to GCF, other than CCMD. Examples include academic institutions as well as other MDAs. CCMD try to coordinate this process, but experiences of the application process vary. We noted the difficulty the application process poses. Respondents highlighted those applications can take up to two years to complete and there are continuity problems if key staff leave their roles. Furthermore, some staff are put off from applying for GCF project funds because of the amount of detail required. This means if Zimbabwe experienced flooding or drought they would be unable to secure grant funding from GCF quickly. This inadvertently undermines impact potential because it leads to stagnation.

Paradigm shift

On a positive note, the NAP project provided capacity building to various MDAs at national, provincial and district levels and enhanced the understanding and knowledge of climate change mainstreaming in development planning. The project also facilitated collaborative learning and networking among stakeholders to promote climate change mainstreaming. In addition, the NAP project engaged with policy and decision makers on the importance of climate mainstreaming in adaptation planning; and there are signs that this will continue beyond the NAP project, as some national and sub-national planning processes had begun to incorporate climate change in their development plans and strategies to sustain the paradigm shift. However, the Theory of Change lacked detail in how the NAP would catalyse wider impact. The CCMD also need support to have more influence and leverage the desired change across government.

Effectiveness and Efficiency

This is discussed in sections 5.3 and 5.5 respectively. In brief, measures are required to improve the effectiveness and efficiency of the NAP readiness project. Good practice emphasises the importance of follow up action and effort to build on initial training provided by CCMD. This forms part of a wider systems approach that is necessary to improve efficiency and effectiveness.

Country Drivenness

This is discussed in section 5.8.6. In brief, country ownership and drivenness is a strong feature of the NAP readiness project, nevertheless this does not mean that national institutions do not require ongoing technical assistance and there needs to be true demand for this support.

Sustainable Development potential

This point is discussed in section 5.7. It is evident the NAP readiness project is just beginning to lay the foundations for improved climate change adaptation and mitigation in Zimbabwe. However, additional significant support is required over many years if wider social and environmental benefits are to be achieved and improvements in gender equality at scale become evident.

Needs of the recipient

As discussed in other sections, the NAP Readiness project was highly relevant for Zimbabwe, and was needed to build the capacity of the relevant MDAs to mainstream climate change into national and subnational development and adaptation planning. However, some of the needs were not met given the duration and budget of the of the project, as well as the lack of follow-up strategies to ensure a cascade of trainings implemented during this project.

140. Performance rating = MU



## 5.8 Factors Affecting Project Performance and Cross-Cutting Issues

141. The NAP programme needs to promote important cross-cutting issues to achieve its broader goals. Our findings are outlined below.

### 5.8.1 Preparation and Preparedness

142. A key role for UNEP is to develop relationships with CCMD at the beginning of the project and support its preparation and preparedness. This required face-to-face meetings and support visits. We understand the opportunity to do this was hampered by COVID-19 and just a single one-week visit was possible.

143. Performance rating = MS

### 5.8.2 Quality of Project Management and Supervision

144. The project established the Project Steering Committee (PSC) co-chaired by the CCMD and UNEP. The Project Coordination Office under CCMD and the implementing agencies reported implementation progress to the PSC on an annual basis. The PSC held meetings annually since 2019 until 2022 to review activity reports and annual work plans and budgets and assess the delivery of outputs and made recommendations to improve project implementation. Even under difficult times such as COVID-19 pandemic, the PSC managed to hold its meetings. Annual Progress Reports (APRs) were also prepared by the Project Coordination Office under CCMD and submitted to UNEP for review. On this basis, project management and supervision were adequate.

145. Performance rating = MS

### 5.8.3 Stakeholder Participation and Cooperation

146. The project identified and engaged key stakeholders which include MDAs, Local Government Authorities, Development Partners, Civil Society Organizations, Private sector, Media, Academic and research institutions, Unions, Associations, Faith-Based Organisations, schools, individuals, and vulnerable groups in the NAP process. Stakeholders were engaged in all the 10 national provinces through workshops, meetings, interviews, and project reports. Stakeholders were given an opportunity to shape the NAP process through providing input into the development of the NAP implementation roadmap. The project also developed the NAP communication strategy to facilitate effective, meaningful, and inclusive engagement and communication on climate change adaptation information through the NAP process and beyond.

147. Performance rating = MS

### 5.8.4 Gender Equity and Social Inclusion

148. **Capacity building training material incorporated GESI issues, but representation of women and vulnerable groups among participants was limited.**

149. Gender Equity and Social Inclusion (GESI) was recognised and acknowledged during project implementation. However, there was little systematic attention to gender and social representation or reaching the most vulnerable populations. Female representation among the provincial-level participants varied considerably from province to province, with some provinces having one woman out of five participants among the trained in the research programme at Provincial level. Overall, out of a total of 50 participants in the research

programme 32 were men and 18 were women<sup>12</sup>. Stakeholders attributed this to the fact that the senior positions and roles of those selected for training are predominantly occupied by men.

*“Participants were seconded, based on their roles and responsibilities in their departments.”*  
FGD participant, Masvingo Province

*“In the composition of the Provincial Development Committees where there was selection of the 5 who were trained ...more men tend to dominate.”* FGD participant, Harare Metropolitan Province

150. At district level, by September 2020, CCMD reported that from their climate change mainstreaming engagements with 22 districts a cumulative figure of 1200 people had been reached, with 780 men and 420 women, of which 15% were youths<sup>13</sup>.

151. In addition, some provinces had representation from the Ministry of Women Affairs and Small to Medium Enterprises among the trained provincial personnel – but not all. The same applies to the Ministry of Youth<sup>14</sup>, and the Ministry of Public Service, Labour, and Social Welfare<sup>15</sup>.

152. Having said that, the training and sensitisation workshops, as well as the research programme material incorporated how climate change affects women and vulnerable groups, and how adaptation planning and interventions needed to consider GESI issues.

153. Performance rating = MU

### 5.8.5 Environmental and Social Safeguards

154. The main thrust of the project was institutional development and capacity strengthening. This qualified the project to be a “low risk” based on the environmental and social risk category defined in the *Accreditation Framework and the Information Disclosure Policy* of the Green Climate Fund. The project did not implement any on-the-ground adaptation interventions, apart from the installation of six (6) AWS whose environmental and social impacts were very minimal. As a result, no specific environmental and social management plans were prepared under the project. Nonetheless, the project contributed to environmental and social safeguards by targeting vulnerable populations such as women, people living with disabilities, the elderly, youths, smallholder farmers, community leaders and people living with HIV and AIDS in capacity building and awareness raising campaigns.

155. The project also implemented priority actions which include establishment of NAP working groups and sensitisation of MDAs, non-governmental organizations, and local actors at all levels on climate change adaptation which may result in increased resilience of the ecosystem and local communities to climate change and to strengthening social cohesion within the communities. Some CSOs that participated in the trainings are now fully engaged in activities that contribute to the sustainable management of natural resources and climate change adaptation. These activities include rainwater harvesting, small grains production, green manure and cover crop production, agroforestry, holistic and livestock management, organic farming as well as conservation agriculture.

156. Performance rating = MU

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<sup>12</sup> Minutes of the NAP Readiness Board Third Steering Committee Meeting (the fourth PSC Meeting minutes recorded a total of 59 participants, with 33 men and 26 women)

<sup>13</sup> Ibid

<sup>14</sup> Ministry of Youth, Sports and Recreation is responsible for young people.

<sup>15</sup> Ministry of Public Service, Labour and Social Welfare represents the disabled, and is responsible for the protection of vulnerable populations in Zimbabwe.

## 5.8.6 Country Ownership and Drivenness

157. **National autonomy is a strong feature of the readiness project.**

158. The project has strong national leadership and has triggered a series of activities and outcomes that have been taken up by government to develop the NAP process. Evidence suggests that the various government Ministries, Departments and Agencies (MDAs), including the Ministry of Finance, are keen to see climate change adaptation further embedded in national development planning.

159. The project also triggered changes in policy, e.g., the Government's M&E system will incorporate monitoring and review of the National Adaptation Processes; as well as the development of preparatory tools (such as the climate portal and climate database) and tracking tools such as the finance tracking tool.

160. Country ownership and drivenness implies the dependence on external interventions will reduce. However, it is our assessment and based on some stakeholder comments that Zimbabwe still needs some external support to further develop the capacity to effectively adapt to climate change, including the ability to identify bankable projects, access, and leverage climate finance opportunities (GCF, development banks, private sector, etc.).

*"The dynamics of climate finance, particularly for GCF, have a long and rigorous application process that can be deterring..." KII, State University*

*"We need to start applying for grants to support our programmes, but we don't have the capacity to do so, and this gap exists in various institutions. We need training on how to apply for these grants for example from IDBZ (Infrastructure Development Bank of Zimbabwe) ..."*  
*Stakeholder FGD, Harare*

*"...some of the advice we provided was not easily taken on board by CCMD," KII UNEP*

161. Performance rating = S

## 5.8.7 Communication and Public Awareness

162. The project spent approximately \$173,000 (USD) on Information and Communications Technology. This was used for networking and fostering partnerships with a range of MDAs interested in climate change adaptation. The budget also enabled them to present at meetings, workshops, and conferences. Written communication was also used to raise public awareness. As an example, the NAP project translated and printed public materials in 5 local languages (Shona, Ndebele, Shangani, Venda, and Tonga) for dissemination in November 2020 and in May 2021. Over 40000 copies were produced and distributed<sup>16</sup>. However, to the best of our knowledge no surveys have been undertaken to assess how public awareness has altered or how demand for climate change action has increased. Furthermore, it is unclear how communication and public awareness work was aligned with Objective 3.

163. Performance rating = MS

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<sup>16</sup> Minutes of NAP Readiness Board Third Project Steering Committee Meeting

## 6 Conclusion

164. Overall, it is our judgement the project has achieved a rating of 3.67. This places it between the grades of moderately satisfactory (MS) and satisfactory (S). Table 10 below outlines the different ratings allocated for each component. We have set out our rationale for each main section below.

### A: Strategic Relevance

165. The NAP project is highly relevant to Zimbabwe's climate adaptation mission and wider development goals. It is possible to engage more at provincial, district, and local levels to ensure adaptation measures address local priorities.

### B: Quality of Project Design

166. CCMD has in-house expertise and specialists, but this does not necessarily mean they have all the skills necessary to satisfy GCFs project appraisal criteria for effective project design and implementation. This raises questions about how realistic it is to expect institutions to perform effectively in areas where capacity is low. Furthermore, technical assistance was not embedded within CCMD, so guidance provided through technical assistance was not always taken on board.

### C: Effectiveness

167. Individuals and MDAs benefit from climate adaptation training and attendance at workshops provided by CCMD. However, there are constraints on effectiveness of training if provincial and local governments lack the human, equipment, and financial resources to share or test good practice.

168. It is difficult to judge the extent to which infrastructure and technology (such as AWS) leads to better decision making and planning. The installation of monitoring networks demonstrates Zimbabwe's commitment to climate adaptation, but the quality of work could be improved if there is greater attention on data processing.

### D: Financial Management

169. We have not undertaken a rigorous assessment of CCMDs financial management but have highlighted that final project management costs – specifically bank charges - are higher than originally anticipated, and that one-off trainings and workshops need to be followed up to maximise efficiency.

### E: Efficiency

170. CCMD appears to operate cost-effectively, however programme management costs are not insignificant, and the use of consultants means the opportunity to recruit and retain staff within CCMD has been lost. The recruitment of new government staff falls outside the scope of the UNEP project, however but as part of the wider systems strengthening process, CCMD has not been able to add to their specialist staff and it is unclear how CCMDs in-house capacity for improved and efficient project design and implementation has changed.

### F: Monitoring and Reporting

171. CCMD has maintained simple monitoring systems recording their work on the NAP project. National monitoring plans have also been developed. However, these monitoring systems will need to be adopted and institutionalised by numerous MDAs so that progress can be tracked, and corrective action can be taken. CCMD will need to work with others to put these systems in place.

### G: Sustainability

172. CCMD has placed high emphasis on one-off training workshops. Although the quality of these workshops may be high it does not mean the interventions are long-lived or systematically address sustainability challenges. All CCMDs climate awareness interventions require follow up action to prevent stagnation and ensure progress. Such follow up is only possible if (a) provincial and local government or other delegated entities can fulfil key functions, and (b) CCMD has long term presence or representation at local levels. A high priority is for CCMD to work with Provincial and Local Government, so these actions are possible.

#### **H: Factors Affecting Performance and Cross Cutting Issues**

173. CCMD focuses on gender, equity, and social inclusion, and ensures women and youths are present at training workshops. However, following the workshops it is unclear what systematic attention is given to GESI, so that disadvantaged communities or groups in society are engaged in Zimbabwe. A GESI and climate lens is required in developing local government development plans, guidelines, and training materials.

#### **UNEP Evaluation Office Validation of Performance Ratings:**

The UNEP Evaluation Office formally quality assesses (see Annex 13) management led Terminal Review reports and validates the performance ratings therein by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations. The quality of the review report was assessed to be 'MS'.

The Evaluation Office assesses a Terminal Review report in the same way as it assesses the initial draft of a Terminal Evaluation report.

It applies the following assumptions in its validation process:

- That what is being assessed is the contents of the report and the extent to which it makes a consistent and justifiable case for the performance ratings it records.
- That the Review Team has, within the report, presented all the evidence that was made available to them.
- That the Review has been based on a robust Theory of Change, reconstructed where necessary, which reflects UNEP's definitions at all levels of results.
- That the project team and key stakeholders have already reviewed a draft version of the report and provided substantive comments and made factual corrections to the Review Consultant, who has responded to them. The Evaluation Office assumes, therefore, that it has received the Final (revised) version of the report.

Before the validation of this review report the Evaluation Office found that the Review Team had indicated 'MS' for overall performance, which should have been 'MU' had the weighted ratings table been applied according to guidelines. After validation the Evaluation Office validates the overall project performance rating to remain at the '**MU**' level.

Table 11: Project Performance Ratings Table<sup>17</sup>

Criterion	Summary Assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
<b>A. Strategic Relevance</b>	<b>5.5</b>	<b>HS</b>	<b>The rating is validated. It is noted that relevance to UNEP is assessed in view of the Bali Strategic Plan for Technology Support and Capacity Building and not UNEP strategic priorities such as the Medium-Term Strategy and POW.</b>	<b>HS</b>
1. Alignment to UNEP's, Donors, and Country (global, regional, sub-regional and national) strategic priorities	6	HS	The rating is validated.	HS
2. Complementarity/Coherence with relevant existing interventions, including GCF requirement for an assessment of coherence in climate finance delivery with other multilateral entities.	5	S	The rating is validated.	S
<b>B. Quality of Project Design</b> , based on GCF Table.	<b>3</b>	<b>MU</b>	The rating is validated based on review of strengths and weaknesses according to GCF's appraisal criteria. Weaknesses relate to lack of understanding of 'how change happens, not systematically addressing inequalities, poor follow-up support, lack of clarity on how to tap into funding sources. Note: Quality of project design was rated based on GCF's 12 appraisal criteria, which differ from the project design quality criteria used for UNEP projects (E.g. TOC, gender considerations, private	<b>MU</b>

<sup>17</sup> Criteria and sub-criteria have been rated on a six-point scale as follows: Highly Satisfactory (HS = 6); Satisfactory (S = 5); Moderately Satisfactory (MS = 4); Moderately Unsatisfactory (MU = 3); Unsatisfactory (U = 2); Highly Unsatisfactory (HU = 1). The Overall Performance Rating is calculated as a simple average of the ratings for each criterion (A-H).

			sector investments, adaptation financing strategy).	
<b>C. Effectiveness</b>	3.5	<b>MS</b>	<b>The overall rating is validated.</b>	<b>MS</b>
1. Availability of outputs	4	<b>MS</b>	<b>The rating is validated. Detailed assessments of delivery of outputs presented in Annex 8. which indicates that outputs under components 1 and 3 were fully delivered, while outputs under components 2 and 4 were partially delivered (e.g. delivery of web-site and 6 out of 10 automated weather stations) corresponding to a 61-80% range (MS) of output delivery.</b>	<b>MS</b>
2. Achievement of project outcomes, including GCF requirements of innovativeness in results areas, replication and scalability and unexpected results (positive and negative)	3	MU	The rating is validated. Two outcomes were achieved while the outcomes such as functioning of the AWS and adaptation financing were partially achieved.	MU
3. Likelihood of impact	3	MU	The rating is validated. While outcome 1 and 4 were achieved, outcome 2 and 3, which are key to attaining change and impact were partially achieved, assumptions and risks were not identified in the project's original TOC. Key drivers to support transition are assessed to be lacking at provincial and district levels.	MU
4. Adaptive management	4	MS	The rating is validated. Effects of COVID-19 required adaptive management. Note: Guidance in validated adaptive management is needed.	MS
<b>D. Financial Management</b>	4	<b>MS</b>	The rating is changed. In the report this criterion (and not the sub-criteria) was reviewed focussing on spend of	<b>MU</b>



			funds towards bank charges, consultants and project management cost.	
1. Adherence to relevant policies and procedures	4	MS	The rating is changed. Evidence of adherence to policies and procedures in Zimbabwe was reviewed (pending audit). Extent of compliance with UNEP policies and procedures was not addressed.	MU
2. Completeness of project financial information	4	MS	<b>The rating is validated.</b>	<b>MS</b>
<b>E. Efficiency</b>	3	<b>MU</b>	<b>The rating is validated. Cost-effectiveness affected by use of consultants, timeliness was affected by COVID-19 and delays from verification processes and approval processes, which resulted in two no-cost extensions.</b>	<b>MU</b>
<b>F. Monitoring and Reporting</b>	3.5	MS	The rating has changed. The sub-criteria are rated MU and MS respectively by which the criteria is then awarded an overall rating of MU.	MU
1. Monitoring at country level	3	MU	Rating is validated. Note: Monitoring at country was rated in terms of the national monitoring framework, and not related to monitoring during project implementation.	MU
2. Project reporting, including at country level	4	MS	Rating is validated. Role of PCS and delivery of Annual Progress Reports was assessed to be adequate to monitor progress at project level. Evidence of compliance with reporting requirements and basic mechanism of PCS.	MS
<b>G. Sustainability</b> (the overall rating for Sustainability will be the lowest rating among the three sub-categories)	3	<b>MU</b>	<b>The rating is validated.</b>	<b>MU</b>

1. Institutional, social-political, and financial sustainability	3	MU	The rating is validated. Project has a high dependency on institutional support, however, no analysis by CCMD as to what essential climate adaptation functions provincial and district level institutions need to perform routinely, and it is not clear how the NAP process will be financed beyond the project.	MU
2. GCF Investment criteria for paradigm shift	3	MU	The rating is validated. Impact potential reduced as reportedly applications can take up to two years to complete. Note: Guidance on validation of criteria needed.	MU
<b>H. Factors Affecting Performance and Cross-Cutting Issues</b>	<b>3.85</b>	<b>MS</b>	The overall rating is validated.	<b>MS</b>
1. Preparation and readiness	4	MS	Rating is validated. Preparations and beginning of project were hampered by COVID- 19 and just a single one-week visit was possible.	MS
2. Quality of project management and supervision	4	MS	Rating is validated. Project management involved Project Coordination Office, PSC and CCMD. PSC held meetings annually and project management and supervision were assessed as adequate. However, the quality of the supervisory role of UNEP was not addressed.	MS
2.1 UNEP/Implementing Agency:	4	MS	Rating is validated.	MS
2.2 Partners/Executing Agency:	4	MS	Rating is validated.	MS
3. Stakeholders participation and cooperation	4	MS	Rating is revised upwards. All the 10 national provinces were engaged through workshops, meetings, interviews, and project reports. Various stakeholder groups were	S

			given an opportunity to shape the NAP process through providing input into the development of the NAP implementation roadmap.	
4. Gender equity	3	MU	Rating is validated. Gender parity was not achieved in project implementation, interpretation of results and project expenditure.	MU
5. Environmental and social safeguards (where applicable)	3	MU	Rating is revised upwards. Project did not implement any on-the-ground adaptation interventions, apart from the installation of six (6) AWS whose environmental and social impacts were very minimal. The project contributed to environmental and social safeguards by targeting vulnerable populations and CSOs that participated in trainings now implementing activities that contribute to climate change adaptation.	MS
6. Country ownership and drivenness	5	S	Rating is validated. Evidence of strong national leadership.	S
7. Communication and public awareness	4	MS	Rating is validated. The review did not find evidence to support how public awareness has altered or how demand for climate change action has increased. Furthermore, the review team found is unclear how communication and public awareness work was aligned with resource mobilization for adaptation investments.	MS
<b>Overall Project Rating</b>	<b>3.67</b>	<b>MS</b>	<b>Overall Project Rating validated.</b>	<b>MS</b>

## 7 Lessons Learnt and Recommendations

174. The NAP project in Zimbabwe and this terminal review offers many opportunities to learn lessons. Here we identify seven that we have captured.
175. First, systems strengthening work is about strengthening the environment in which the NAP process is being implemented. NAP preparedness projects need to strike a balance between 'identifying projects' to enabling others – especially through explicitly engaging with others in systems strengthening work. The NAP process involves numerous actors (national and local government, donors, NGOs, civil society, and private sector, academia), aspects (social, institutional, economic, and financial, technical, and environmental) and processes (planning, budgeting recruitment, monitoring and communication). Together these actors, aspects and processes combine and interact to deliver the NAP process. This is the system that CCMD needs to be able to influence, considering the dynamic nature of (government structures and processes) the system in which it operates.
176. Second, the NAP project placed strong emphasis on national autonomy. This is an important principle but can pose difficulties for supporting entities like UNEP whose recommendations to CCMD for external support and expertise may be overlooked. There are many actions that need to be performed to develop the NAP process and sub-optimal impact is likely if adequate support is not identified. It behoves CCMD to work with UNEP to ensure appropriate technical assistance is identified, recruited, and mobilized at the right time.
177. Third, CCMD lacks the human and financial resources required to have a presence at local level. This means they lack the ability to follow up training activities or consistently and effectively promote climate change mainstreaming in national planning, and influence NAP. This is a major constraint on their effectiveness and an area the project has not been able to address.
178. Fourth, there is no conceptual framework for how Zimbabwe's NAP capability will be strengthened in an incremental manner. It is important that Zimbabwe sets realistic expectations for how it will progress from basic, to intermediate and advanced planning functions.
179. Fifth, donor funding from GCF places many demands on Zimbabwe's institutions. We noted that people felt the application process was complex and onerous and this contributes to stagnation. There was also the perception that GCF are detached from the practical challenges that institutions in Zimbabwe face. There was a sense that GCF wants to fund projects but are less interested in systems strengthening work.
180. Next, GCF, UNEP and CCMD could work together more effectively. This would prevent CCMD from 'ploughing their own furrow' and make it possible for more effective donor and technical assistance.
181. Lastly, the consideration of gender equity and social inclusion needs more attention and to be more systematically included in NAP processes, and not in a tokenistic way.

### 7.1 Recommendations

182. The recommendations made here are in relation to actions that can be taken for ongoing NAP work. They have been co-created with CCMD.
183. **R1: Familiarization with systems strengthening in Zimbabwe.** CCMD are well placed to work with others to identify the weaknesses in NAP systems, and work with government departments and other entities to strengthen those systems. Systems

strengthening work should identify the current interlinkages between the component parts of the NAP system. The purpose of this would be to familiarize MDAs to the current obstacles and barriers that exist in Zimbabwe, while also generating a vision as to how the NAP system could be strengthened in an incremental manner. For example, how will changes in national policy and legislation affect planning and budgeting at district levels, or how will better monitoring and learning lead to corrective action being taken.

184. **R2: Formal agreement with Meteorological Services Department.** CCMD should undertake detailed consultations with the Meteorological Services Department around the arrangements that need to be in place to improve the way hydrometric data is collected, cleaned, validated, analysed, and published. This should set out:
- Plans for sharing both raw and analysed data
  - O&M plans for sustaining the national monitoring network
  - Frequency and format of published data
  - Commitments to share data with local communities and decision-makers
185. **R3: Face the finance challenge.** CCMD and its partners need to develop a better understanding of the true costs of NAP project interventions (hardware and software) at subnational levels. This will require dedicated technical assistance and needs to include both Capital Expenditure and the associated recurrent costs (such as Capital Maintenance Expenditure). Only then will communities and district level authorities have a clear understanding about what they are taking on. Options will also need to be developed as to how recurrent costs will be covered through tariffs, taxes, or transfers.
186. **R4: More and better local government funding for NAP implementation and O&M.** CCMD recognise the need to work with and through local government structures. CCMD are well placed to work with district government and local structures to advocate for increased funding and resources. The logic for this recommendation is that increased district budgets will support CCMDs policy, training, and oversight role.
187. **R5: Articulation of a clear strategy for gender, equity, and social inclusion.** The strategy for GESI, such as exists, is vague and receives little attention in the current NAP document. A clear strategy is required for working with women, youths, people with disabilities and vulnerable groups. NAP processes should be gender-transformative and this will require a 'systems thinking' approach rather than assuming stand-alone training will lead to the desired societal and behavioural change.
188. **R6: Continuous learning and knowledge sharing.** The people working in CCMD, and others involved in the NAP process are key to successful climate adaptation in Zimbabwe. This means a process of continuous monitoring and learning is required so people develop their knowledge and skills. A systematic process for documenting and sharing learning needs to be developed.
189. **R7: Articulation of a clear strategy for external support.** CCMD does not possess the necessary skill sets to implement all aspects of the NAP process without external technical assistance. UNEP have supported the readiness project and are well-placed to continue this support. However, more could be done to identify areas for support and develop better collaborative working with CCMD. This is a two-way process and there needs to be clear demand from CCMD.
190. **R8: Develop a phased approach so that efforts to develop the NAP process and build resilience to climate change are aligned with SDG priorities to move people up the service ladder.** The NAP process will need to prioritise sectors and provinces that are most at risk to climate change so that it can demonstrate progress and maximise impact. This would require the Government of Zimbabwe to focus on national priorities,

budget allocations, working with local government, fiscal decentralisation, and coordination of key sector players.

# Annex 1: Response to Stakeholder Comments Received but not Fully Accepted by the Review Consultant

None.



# Annex 2: Review Itinerary



GREEN  
CLIMATE  
FUND



## Concept Note: GCF NAP Readiness Project Monitoring and Review Exercise between the Ministry and International Organisation Development Ltd, 19-31 July 2023

### Background

The Government of Zimbabwe received US\$2,886,275 in 2018 from the Green Climate Fund through the project called ***Building Capacity to advance the National Adaptation Planning Process in Zimbabwe***. The project has four outcomes namely:

- To enhance stakeholders' capacity to formulate and implement the NAP process in Zimbabwe enhanced
- To manage the background information for formulating and implementing the NAP process and prioritised the adaptation options
- To identify NAP implementation resources and conduct studies to inform medium-to long-term climate change adaptation investments
- To improve Monitoring, reviewing, and reporting on the NAP process in Zimbabwe

These outcomes will contribute to the objectives of the overall NAP process which are to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience and facilitating the mainstreaming of climate change adaptation into relevant new and existing policies, programmes, and activities in development planning processes and strategies in all relevant sectors. As the project ended on the 31<sup>st</sup> of May 2023, it is imperative that the Project be audited to ascertain whether it met its intended objective of facilitating climate change mainstreaming in development planning and reducing vulnerability to the impacts of climate change.

To this end, a team of consultants, International Organisation Development Ltd (IOD PARC), has been engaged by UNEP to carry out a Terminal Review of the project. As part of the review, they will be visiting Manicaland, Masvingo, Matabeleland South, Bulawayo, Midlands, Mashonaland West, and Harare provinces during the period from 19 July to 31 July 2023. The exercise will entail meeting with various stakeholders that have been part of the climate change mainstreaming agenda such as Secretaries for Provincial Affairs and Devolution and state universities and will also cover the inspection of installed Automated Weather Stations (under the NAP Readiness project). The visits will be carried out by the Ministry Staff and the Consultant.

Table 12: Proposed Itinerary for the Terminal Review

Date	Province	Activity	Time	Distance (Km)
<b>Week 1</b>				
<b>19/07/23</b>	Manicaland	Traveling		Harare- Mutare (300km)
<b>20/07/23</b>		Meeting with Secretary for Provincial Affairs and Devolution, Representatives of Provincial Development Committees and Representatives of vulnerable groups	Morning	
		Meeting with representatives of beneficiaries of the climate change mainstreaming research programme	Afternoon	
<b>21/07/23</b>		Traveling	Morning	Mutare- Nyanyadzi (100km)
		Tour adaptation intervention in Ward 14 Nyanyadzi (small grains & pasture management)	Morning	
		Traveling	Morning	Nyanyadzi –/Chimanimani (120KM)
		Meeting with Practical Action on climate change mainstreaming	Afternoon	
<b>22/07/23</b>		Visit the Cyclone Idai Affected areas in Chimanimani Ngangu Community and Charles Luanga School	Morning	
		Traveling	Afternoon	Chimanimani- Mutare (160km)
<b>23/07/23</b>		Masvingo	Traveling	Morning
<b>24/07/23</b>	Visit AWS at Buffalo Range Airport		Morning	
	Traveling		Morning	Chiredzi- Masvingo (270km)
	Meeting with Secretary for Provincial Affairs and Devolution, Representatives of Provincial Development Committees, District Development Committee, Representatives of vulnerable groups and beneficiaries of the climate change mainstreaming research programme		Afternoon	
	Meeting with Great Zimbabwe University lecturers		Afternoon	
<b>25/07/23</b>	Matabeleland South	Traveling	Morning	Masvingo- Gwanda (280km)
		Meeting with Secretary for Provincial Affairs and Devolution, Representatives of Provincial Development Committees, District Development Committee, Representatives of vulnerable groups and beneficiaries of the climate change mainstreaming research programme	Afternoon	
		Traveling	Afternoon	Gwanda- Bulawayo (130km)
<b>26/07/23</b>		Traveling	Morning	Bulawayo- Matopos Research Centre (70km)
	Bulawayo	Visit Matopos AWS	Morning	
		Traveling	Morning	Matopos Research Centre- Bulawayo (70km)
		Meeting with Secretary for Provincial Affairs and Devolution, Representatives of Provincial Development Committees, District Development Committee, Representatives of vulnerable groups, beneficiaries of the climate change mainstreaming research programme and Private sector	Afternoon	
		Meeting with National University of Science and Technology (NUST) lecturers	Afternoon	
<b>Week 2</b>				
<b>27/07/2023</b>	Midlands	Traveling	Morning	Bulawayo-Gweru (180km)

Date	Province	Activity	Time	Distance (Km)
		Meeting with Secretary for Provincial Affairs and Devolution, Representatives of Provincial Development Committees, District Development Committee, Representatives of vulnerable groups and beneficiaries of the climate change mainstreaming research programme	Morning	
		Traveling	Afternoon	Gweru- Vungu (100km)
		Visit a piped water scheme	Afternoon	
		Traveling	Afternoon	Vungu-Gweru (100km)
<b>28/07/2023</b>	Mashonaland West	Traveling	Morning	Gweru to Chegutu (180km)
		Meeting with DDC, Representatives from District development committees, CSOs and vulnerable groups	Morning	
		Traveling	Morning	Chegutu to Chinhoyi (100km)
		Meeting with Secretary for Provincial Affairs and Devolution, Representatives of Provincial Development Committees, District Development Committee, Representatives of vulnerable groups and beneficiaries of the climate change mainstreaming research programme	Afternoon	
		Meeting with Chinhoyi University of Technology (CUT) lecturers	Afternoon	
<b>29/07/2023</b>		Travel	Morning	Chinhoyi to Harare (130km)
<b>31/07/2023</b>	Harare	<b>Meeting with Government Agencies &amp; others</b>		
		Metrological Services Department (MSD)		
		Environmental Management Agency (EMA)		
		University of Zimbabwe (UZ)		

## Annex 3: List of People Consulted

Name	Organisation
Gift Gewona	UNEP
Jessica Troni	UNEP
Alexander Forbes	UNEP
Richard Munang	UNEP
Washington Zhakata	CCMD
Emily Matingo	CCMD
Tarcisious Mukava	CCMD
Kudzai Ndidzano	CCMD
Edzai Chinakidzwa	Ministry of Finance
Tinashe Mashavave	Ministry of Finance

In addition to the listed in the table, registers participants of the FGDs at provincial and district levels were asked to fill in registers, attached:



# Annex 4: List of Documents Consulted

1. Zimbabwe National Climate Policy. Government of Zimbabwe (2016)
2. Climate Change Response Strategy. Government of Zimbabwe (2014)
3. National Development Strategy 1. Government of Zimbabwe (2020)
4. Updated Strategic Plan for the Green Climate Fund: 2020-2023

## NAP Documents (Reviewed)

- National Adaptation Plan Coordination Framework
- Communication Strategy for the National Adaptation Planning Process in Zimbabwe (Draft, 2019)
- National Adaptation Plan (NAP) Roadmap for Zimbabwe (2019)
- Workshop Report on Building Capacity to Advance the National Adaptation Planning Process in Zimbabwe (2019)
- Workshop reports on sensitisation meetings on Climate Change
- Synthesis Report for the Climate Change Mainstreaming Capacity Building and Awareness Campaigns
- Training manual on Mainstreaming Climate Change Adaptation into National and Subnational Development Planning in Zimbabwe
- Strategy for the Periodic Review of Climate Change Mainstreaming in Zimbabwe
- Review of NAP Related Activities Conducted to Date Indicating Gaps and Opportunities for Mainstreaming Climate Change (2020)
- Review Report of District Development Plans and Recommendations for Disaster Risk Management and Climate Change Adaptation Integration
- Needs Assessment and Gap Analysis for NAP Climate Database System
- Government of Zimbabwe (2020). Understanding Climate Risks over Zimbabwe. Ministry of Environment, Climate, Tourism and Hospitality Industry, Harare
- Zimbabwe Climate Change Vulnerability Assessment: An Indicator-based Report
- Report on the Installation of Six Automatic Weather Stations Under the NAP Project.
- Prioritisation and Costing of Climate Change Adaptation Interventions (CCMD)
- Cost Benefit Analysis of Adaptation Options
- Climate Change Adaptation Finance Strategy for Zimbabwe (2023-2030)
- Climate Change Mainstreaming Capacity Building Training Programme: A Synthesis of Provincial Research Reports
- Gap and Needs Analysis Report on Climate Change to Inform Future Adaptation Interventions
- Draft National Adaptation Plan Monitoring and Review System
- Training Manual on Monitoring and Review System Framework
- Climate Change National Adaptation Plan for Zimbabwe (Draft)

## Annex 5: KII and FGD Guide

Review Criteria	Sub-criteria and Considerations	KII and FGD Questions
Strategic relevance	Alignment to the UNEP, Donors, and Country (Global, Regional, Sub-regional, and National) Strategic Priorities	<u>National</u> How do the project objectives align with national priorities, policies, and strategies? Are there other interventions this project is building on that complement the project?
	Complementarity/Coherence with Relevant Existing Interventions	<u>Provincial and District</u> How was the project aligned with provincial and district development plans? How did the project align with local community priorities?
Quality of Project Design	The quality of the project design should be assessed based on the GCF investment criteria.	<u>National</u>
Effectiveness	Availability of Outputs	<u>National, Provincial and District</u> Confirm evidence. Was the project implemented to the highest professional standards (linked to review criteria B)
	Achievement of Project Outcomes	To what extent did the project achieve the intended outcomes? (And intermediate outcomes)
	Likelihood of Impact	How likely will the project result in positive impacts?
	Adaptive management	How likely will the project result in negative impacts? How has the project resulted in or promoted scaling up or replication of climate adaptation interventions? What challenges did the project face during implementation? How were these challenges managed?
Financial Management	Adherence with UNEP's or the GCF's financial management policies.	<u>National</u> Financial disbursements – are they adequate and on time?

	<p>Any financial management issues that have substantively affected the timely delivery of the project or the quality of its performance.</p> <p>Were any standard and required financial documentation is missing, inaccurate, incomplete, or unavailable in a timely manner.</p>	<p>Were any financial challenges affecting the project and its timely delivery? Were there any budgetary constraints due to COVID-19?</p> <p>Were any standard and required financial documentation missing, inaccurate, incomplete, or unavailable in a timely manner?</p>
Efficiency	<p>Cost-effectiveness</p> <p>Timeliness</p> <p>Use of/building upon pre-existing institutions, agreements, partnerships, data sources, synergies, and complementarities with other initiatives, programmes, projects, etc. to increase project efficiency</p>	<p><u>National</u></p> <p>What measures were put in place to achieve cost effectiveness?</p> <p>Is there a balance between project overhead costs and actual project expenditure?</p> <p>Was the project implementation as cost-effective as originally proposed (planned vs. actual)?</p> <p>Was procurement carried out in a manner making efficient use of project resources? Time, financial, human?</p> <p>Were project deliverables delivered on time as planned?</p> <p>Were project activities carried out without delays? (National, provincial, district)</p> <p>How did the project make use of pre-existing institutions, agreements, partnerships, data sources, synergies, and complementarities with other initiatives, programmes, projects, etc. to increase project efficiency?</p>
Monitoring and Reporting	<p>Monitoring at Country Level</p> <p>Project Reporting, including at the country level</p>	<p><u>National</u></p> <p>Evidence of monitoring at the provincial and district level</p> <p>How was project monitoring information communicated/reported to national structures?</p> <p>How has the new MRR (M&amp;E) system been used at national, provincial and district levels? How effective are the systems? Challenges? Effectiveness? Verification?</p>



		<p>Is there a feedback system from national to provincial/district on project reports?</p> <p>Are monitoring systems adequate to track progress?</p> <p>Is there evidence of corrective action being taken?</p>
Sustainability	<p>Institutional, Socio-political, and Financial Sustainability</p> <p>GCF Investment Criteria</p>	<p><u>National</u></p> <p>What processes, policies, sub-regional agreements, and legal and accountability frameworks are in place to support the sustainability of outcomes from this project? Are they robust enough?</p> <p>Effectiveness and financial sustainability of Working groups (PDC and DDC) at provincial and district levels?</p> <p>To what extent do social, political, or financial factors support the continuation and further development of the benefits derived from project outcomes?</p> <p>Do the outcomes from the project require continued funding to be sustainable? Is that funding available?</p> <p>What management arrangements are in place to ensure sustainability? (Such as responses to major breakdowns).</p> <p>What financial arrangements exist to ensure sustainability?</p> <p>Is there a conceptual framework to show how sustainability will be achieved?</p>
Factors Affecting Project Performance	<p>Preparation and Preparedness</p> <p>Quality of Project Management and Supervision</p> <p>Stakeholder Participation and Cooperation</p> <p>Gender Equity</p> <p>Environmental and Social Safeguards</p> <p>Country Ownership and Drivenness</p> <p>Communication and Public Awareness</p>	<p><u>National</u></p> <p><u>Environmental Safeguards</u></p> <p>Ask about project risk category, risk register and management plans.</p> <p><u>Gender Equity</u></p> <p>Gender equality in project staffing</p> <p>Gender equality of project beneficiaries</p>

Country Ownership and Drivenness (relevant ministries' involvement in the NAP process)

Ministry of Finance (and RBZ)

Ministry of Lands, Agriculture, Water, Fisheries and Rural Development

Women Affairs, Gender, and Community Development

Ministry of Youth, Arts and Culture

Ministry of Energy

Communication and Public Awareness

What channels were/are being used for communication and public awareness?

How have the lived experiences of target populations been captured?

# Annex 6: A Statement of Expenditure

**Table 1: Project Total Funding and Expenditures**

<b>Funding by Source (Life of Project)</b> <i>All figures as USD</i>	<b>Planned Funding</b>	<b>Secured Funding</b>	<b>Expended</b>
Funds from the Environment Fund	2,139,500	1,954,407	1,954,407
Funds from the Regular Budget	-	-	-
Extra-budgetary funding (listed per donor):	-	-	-
<i>Donor A:</i>	-	-	-
<i>Donor B:</i>	-	-	-
<b>Sub-total: Project Funding</b>	<b>2,139,500</b>	<b>1,954,407</b>	<b>1,954,407</b>
<b>Co-Financing<sup>18</sup> (Cash and In-kind Contributions)</b> <i>All figures as USD</i>	<b>Planned Contributions</b>	<b>Secured Contributions</b>	<b>Verified Contributions</b>
Co-financing cash contribution (listed by source):	-	-	-
<b>Sub-total: co-financing contributions</b>	<b>-</b>	<b>-</b>	<b>-</b>
Co-financing in-kind contribution (listed by source):		<b>See note 1 below</b>	
<b>Sub-total: in kind contributions</b>			
<b>Staffing (Total Throughout the Project)</b> <i>All figures as Full Time Equivalents</i>	<b>Planned Posts</b>	<b>Filled Posts</b>	<b>-</b>
Environment Fund staff-post costs	2	2	
Regular Budget staff-post costs	-	-	
Extra-budgetary funding for staff-posts (listed per donor)	-	-	

**Table 2: Expenditure by Component, Outcome or Output (depending on financial system capabilities)**

<b>Component/Sub-component/Output</b> <i>All Figures as USD</i>	<b>Estimated cost at Design</b>	<b>Actual Expenditure</b>	<b>Expenditure Ratio (Actual/Planned)</b>
Component 1/Outcome 1	580,830	563,203	97%
Component 2/Outcome 2	325,547	301,541	93%
Component 3/Outcome 3	509,523	428,977	84%
Component 4/Outcome 4	477,000	405,635	85%

**Note 1:**

<sup>18</sup> Co-financing is understood as funding from a donor to a partner that is not received into UN Environment accounts but is used by a UN Environment partner or collaborating centre to deliver the results in a UN Environment–approved project.

Below is the in-kind contribution by the Government of Zimbabwe. This has not been quantified in terms of monetary value pending a more detailed audit by the Government of Zimbabwe.

- Office space for two staff members
- Vehicles used during the project implementation
- Staff time by Government personnel to assist the project implementation (CCMD, finance, administration, human resources, internal and external auditors)
- Utilities (water and electricity)
- Provision meeting venues
- Project staff provisions and meeting refreshment

# Annex 7: Review Framework

Table 13: Review Framework

Review Criteria	Sub-criteria and Considerations	Data Collection Methods	Data Sources	Review Method
A. Strategic relevance	Alignment to the UNEP, Donors, and Country (Global, Regional, Sub-regional, and National) Strategic Priorities	1. Document Review	1. UNEP, Donors, and Country (Global, Regional, Sub-regional, and National) strategy documents	Qualitative analysis using MaxQDA
	Complementarity/Coherence with Relevant Existing Interventions	2. KIIs*	2. Project Documents	
B. Quality of Project Design	The quality of the project design should be assessed based on the GCF investment criteria.	1. Document Review	1. Project documents	Qualitative analysis using MaxQDA
		2. KIIs*	2. GCF Investment Criteria document	
C. Effectiveness	Availability of Outputs	1. Document Review	1. Project documents (Activity and output documentation)	Qualitative analysis using MaxQDA
	Achievement of Project Outcomes			
	Likelihood of Impact	2. KIIs*	2. Key stakeholders at the national and district level	
D. Financial Management	Adaptive management	1. Field visits	3. Field visits (photographic evidence)	Qualitative analysis using MaxQDA
	Adherence with UNEP's or the GCF's financial management policies	1. Document Review		
	Any financial management issues that have substantively affected the timely delivery of the project or the quality of its performance. Where any standard and required financial documentation is missing, inaccurate, incomplete, or unavailable in a timely manner	2. KIIs* (in collaboration/ consultation with the Office of the Auditor General)		
E. Efficiency	Cost-effectiveness	1. Document Review	1. KIIs with UNEP/GCF, Office of the Auditor General	Qualitative analysis using MaxQDA
	Timeliness			
	Use of/building upon pre-existing institutions, agreements, partnerships, data sources, synergies, and complementarities with other initiatives, programmes, projects, etc. to increase project efficiency	2. KIIs* (in collaboration/ consultation with the Office of the Auditor General)	2. KIIs with Key stakeholders at the national and district levels	
		3. FGDs		

F. Monitoring and Reporting	Monitoring at Country Level	1.	Document Review	1.	KIIs with UNEP/GCF, Office of the Auditor General	Qualitative analysis using MaxQDA		
	Project Reporting, including at the country level	2.	KIIs*	2.				
		3.	FGDs					
G. Sustainability	Institutional, Socio-political, and Financial Sustainability	1.	Document Review	1.	GCF investment guidelines	Qualitative analysis using MaxQDA		
		2.	KIIs*	2.	Project documents			
		3.	FGDs	3.	KIIs and FGDs			
	GCF Investment Criteria	4.	Field visits	4.	Field visits (photographic evidence)			
H. Factors Affecting Project Performance and Cross-Cutting Issues	Preparation and Preparedness	1.	Document Review	1.	Project documents	Qualitative analysis using MaxQDA		
	Quality of Project Management and Supervision							
	Stakeholder Participation and Cooperation	2.	KIIs*				2.	KIIs and FGDs
	Gender Equity	3.	FGDs				3.	Field visits (photographic evidence)
	Environmental and Social Safeguards							
Country Ownership and Drivenness								
	Communication and Public Awareness							

# Annex 8: Project Outputs

Table 14: Project Outputs

Component	Sub-component	Sub-activity	Verifiable Indicator	Completed/Provided (Yes/No)	
1. Institutional capacity for the NAP process in Zimbabwe	1.1 NAP coordination and governance structures strengthened, and stakeholders' capacity built.	1.1.1	Establish NAP Coordination Office	NAP Coordination Office & TORs	Yes
		1.1.2	Develop NAP Roadmap & Communication Strategy	NAP Road Map & communication Strategy	Yes
		1.1.3	Launch NAP Process	Reports & meetings	Yes
		1.1.4	Establish NAP working groups & Define TORs	Reports	Yes
		1.1.5	Training of NAP working groups & Decision makers in various ministries & agencies	Training workshop reports	Yes
	1.2 Stakeholders engaged through training and awareness campaigns, including the development of a training manual for the NAP process.	1.2.1	Raising awareness of rural and urban communities, NGOs and CSOs in all 60 districts	10 awareness campaigns	Yes
		1.2.2	Train vulnerable groups	Workshops	Yes
		1.2.3	Develop training manual on integration of climate change adaptation	Training manual	Yes
		1.2.4	Train instructors to conduct training on the manual	Train the trainer workshops	Yes
	1.3 Review national policies and plans	1.3.1	Review progress to date since 2015	Review reports	Yes
		1.3.2	Review district development plans and recommend opportunities	Recommendation reports	Yes
		1.3.3	Develop and institutionalise – within the MoEWC – a strategy for the periodic review of cross-sectoral and thematic area policies, strategies, and plans	Strategy document	Yes



2. Background preparatory elements to formulate the NAP	2.1 Sustainable climate database management system to inform climate change adaptation established, including a long-term plan for operation and maintenance.	2.1.1	Undertake a gap analysis and needs assessment for climate information system in Zimbabwe	Gap analysis report	Yes
		2.1.2	Develop an integrated database management system on climate data	Data base management system	Yes
		2.1.3	Develop an accessible online climate change information portal	Operational CCIP	Yes, but the portal was not functional at the time of the review
		2.1.4	Analyse meteorological and hydrological data to inform past climate trends and develop downscaled climate scenarios	downscaled climate scenarios	Yes
		2.1.5	Develop regional vulnerability assessments using the downscaled climate scenarios developed under	Regional vulnerability assessments	Yes
		2.1.6	Develop an operation and maintenance manual for the climate database management system	Operational manual for the climate database management system	Yes
		2.1.7	Train staff from relevant departments within the MoEWC (including the Climate Change Management Department and Meteorological Services Department) on: i) project management, including budgeting, accounting and financial reporting; ii) information and communications technology; iii) the use and calibration of climate monitoring equipment and multiple climate data sources; iv) downscaling of climate change models; and v) the use of geographical information systems and remote sensing in mapping exercises.	Technical training workshops	Yes
		2.1.8	Installation of 10 automatic weather stations and associated equipment	10 AWS Installed	Yes, but only 6 out of 10 planned AWS were installed.
	2.2 Adaptation options appraised and prioritized	2.2.1	Develop a system to appraise adaptation options, including the economic, ecological, and social costs and benefits of adaptation measures	User-friendly system	Yes
		2.2.2	Define national criteria for prioritising the implementation of interventions based	National criteria	Yes

3. Funding strategy development and implementation for the NAP process			on development needs, climate vulnerability and risks, existing plans, and the economic valuation of ecosystem goods and services generated through study or research programmes under		
		2.2.3	Conduct an appraisal of adaptation options in all sectors at national and sub-national levels using the system developed	Adaptation appraisal and recommendation report	Yes
	3.1 Costs of climate change adaptation mainstreaming in Zimbabwe estimated.	3.1.1	Undertake a study on adaptation costs of the economic sectors identified in the draft National Climate Policy and identify information gaps which may prevent a reliable estimation of climate change adaptation implementation costs	Gap analysis report on the implementation costs of adaptation	Yes
		3.1.2	Undertake a detailed economic study to fill information gaps and estimate the implementation costs of the adaptation interventions included in Zimbabwe's cross-sectoral and thematic area policies, strategies, and plans.	Detailed cost-benefit analysis of adaptation options	Yes
	3.2 Resource mobilisation strategy developed, and existing funding mechanisms revised	3.2.1	Identify new financial sources to address the adaptation needs assessed under Activity 2.2.3 through public, private, bilateral, and multilateral partnerships.	Minutes of meetings	Yes
		3.2.2	Develop an adaptation finance strategy to i) access new financial sources identified	Adaptation finance strategy	Yes
		3.2.3	Design a tool to track resources allocated for climate change adaptation within the national budget and funding sources identified through Activities 3.2.1 and 3.2.2.	Financial resource tracking tool	Yes
		3.2.4	Develop workshop training toolkits and provide training to strengthen the capacity of relevant government stakeholders to initiate the implementation of the adaptation finance strategy developed under Activity 3.2.2.	Adaptation finance strategy toolkit and training workshops	Yes
		3.2.5	Develop three GCF Concept Notes and associated documents for accessing the project preparation facility, based on the	Three concept notes	Yes

			concept priorities identified by the Readiness Project		
		3.3.1	Conduct study and/or research programmes in collaboration with relevant universities	Climate adaptation research and/or study programme	Yes
		3.3.2	Review past and ongoing adaptation projects implemented across Zimbabwe and identify gaps which can be used to inform adaptation interventions.	Review and gap analysis of past and ongoing adaptation projects	Yes
	3.3 Study or research programmes conducted to inform future investments in climate change adaptation across sectors.	3.3.3	Map the responsibilities of main institutions in implementing, maintaining, and monitoring relevant research programmes identified under Activity 3.3.1.	Organisational chart of institutions and an MoU confirming their responsibilities	Yes
		3.3.4	Develop business plans and financial models, in collaboration with the private sector, to demonstrate the financial value of ecosystem goods and services generated by previous projects (e.g., Supporting Enhanced Climate Action (SECA) for low carbon development).	Draft business plans	No
		3.3.5	Publish the knowledge generated from the study and research programmes conducted under Activity 3.3.1 on the online climate information portal developed under Activity 2.1.2.	Research progress reports uploaded to online climate information portal	Yes
	4.1 A monitoring and reviewing system for the NAP process established.	4.1.1	Develop a monitoring, reviewing, and reporting system for the NAP process in Zimbabwe including:	Operational monitoring, reviewing, and reporting system	Yes
		4.1.2	Institutionalize the monitoring, reviewing, and reporting system for the NAP process by building on the current Results Based Management System identified in the National Monitoring and Review Policy (2015).	Draft amendment to the National Monitoring and Review Policy	Activity was not carried out (refer to IPR of 2022)
4.0 Mechanisms for monitoring, reviewing and reporting on the NAP process	4.2 In-depth training of national government representatives and stakeholders on the NAP monitoring and	4.2.1	Design guidelines, tools and training manuals on the collection and analysis of data required for the monitoring, reviewing, and reporting system developed under Activity	Training manual for the monitoring, reviewing, and reporting system	Yes
		4.2.2	Train technical staff of relevant government institutions and thematic	Training sessions	Yes

reviewing system conducted.		lead ministries and departments on MRV		
	4.2.3	Raise awareness of urban and rural communities, NGOs and CSOs on the monitoring, reviewing, and reporting system using the guidelines, tools and training manuals created under Activity 4.2.1.	Local-level workshops on the NAP monitoring, reviewing, and reporting system	Yes
4.3 NAP document and communication material on NAP formulation, implementation, funding and monitoring developed and disseminated	4.3.1	Analyse and document the lessons learned from the formulation, implementation, funding and monitoring of the NAP process in Zimbabwe.	NAP document, highlighting lessons learned	Yes
	4.3.2	Publish the findings generated under Activity 4.3.1 on ministerial websites, the climate change information portal developed under Activity 2.1.2 and other relevant platforms and networks, including NAP GSPs and the UNFCCC.	NAP report uploaded to knowledge-sharing platforms	NAP report completed but awaits launch. Once launched, it will be shared on various knowledge platforms
	4.3.3	Produce and disseminate short documentaries and radio programmes on the implementation of the NAP process in Zimbabwe.	NAP video clips and radio broadcasts	Yes
	4.3.4	Submit the NAP document to the UNFCCC through the adaptation communication to the UNFCCC.	Submission of NAP document to UNFCCC	Once NAP document is launched, it will be submitted to UNFCCC
	4.3.5	Present the NAP document and lessons learned from the NAP process in Zimbabwe, during climate change-related international and regional meetings.	Meeting presentations and minutes	NAP report completed but awaits launch. Once launched, it will be shared on various knowledge platforms

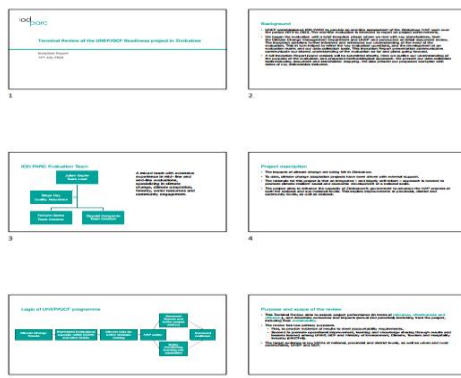
# Annex 9: Any Other Communication and Outreach Tools Used during Review (PPT, Charts, Graphs, Videos, Case Studies etc.).

## Presentation of Inception Report

The Inception Report was presented to UNEP on the 14<sup>th</sup> of July in an online session. The inception report outlined the IOD PARC’s team understanding of the NAP Readiness project in Zimbabwe, and of the scope of assignment. It also outlined the data collection methods and the review schedule. Figure 7 (clickable) below shows the PowerPoint slides presented in the Inception meeting.

Figure 7: Inception Report <sup>19</sup>

20/09/2023



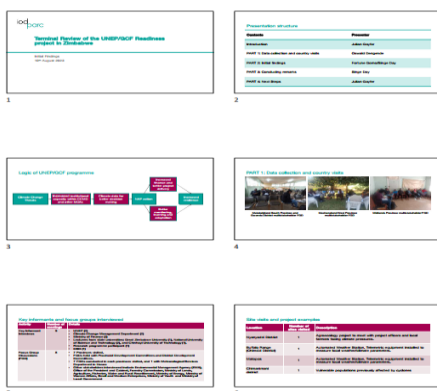
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## Presentation of Initial Findings

The Initial Findings were presented to UNEP on the 10<sup>th</sup> of August, and then to CCMD on the 16<sup>th</sup> of August in online sessions. The Initial Findings report explored the preliminary results from the fieldwork that had been carried out from the 17<sup>th</sup> to the 1<sup>st</sup> of August, involving a series of KIIs and FGDs. Figure 8 (clickable) below shows the PowerPoint slides presented in the Initial Findings meetings.

Figure 8: Initial Findings Presentation

20/09/2023



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<sup>19</sup> Double click on the PowerPoint figure to open the document.

## Co-creation of Recommendations with CCMD

The co-creation of recommendations workshop took place on the 1st of September 2023, with two representatives from IOD PARC and four representatives from CCMD participating in an online session. The consultants presented four key statements (see Figure 9) and then posed a series of questions that were designed to stimulate thinking. This led to more detailed discussions on important issues and provided an opportunity for representatives from CCMD to influence the final report recommendations. Prior to this online session taking place, the main lessons learnt, and draft report had been shared with both CCMD and UNEP.

The co-creating recommendations discussions took the following format:

- Does CCMD agree with the statement put forward?
- Are there any aspects of the statement that need to be challenged or qualified?
- How should the follow-up questions be considered?
- What other comments, questions or observations should be considered IOD PARC?

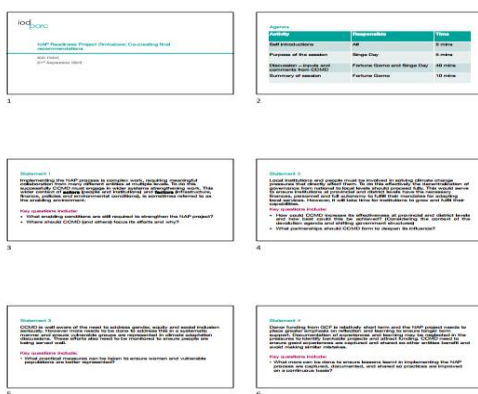
During the session the consultants from IOD PARC moved systematically through the four statements and explained why the issues raised were considered important, citing examples. Each of the four statements focussed on wider process and systematic challenges that had been identified as part of the review. They looked at the following:

1. CCMDs role in wider systems strengthening work
2. Localisation and the need for CCMD to have greater influence and impact at local government level
3. The role of GESI and how women and vulnerable groups in society can be better represented in NAP work
4. The importance of reflection and learning so NAP projects continuously adapt to achieve maximum impact

Previously in the review process CCMD had attended the inception phase presentation and the initial findings presentation. Thus, this session provided an opportunity to shape their strategic thinking in more detail.

Figure 9: Cocreating Recommendations with CCMD

20/09/2023



## Annex 10: Brief Team Profile

The review team was made of four consultants: Julian Gayfer (Team Lead), Fortune Gomo (Consultant), Oswald Dengende (Local Consultant) and St John Day (Quality Assurance). Together the team brought experience conducting reviews and institutional assessments related but not limited to climate resilience and adaptation, integrated water resources management, Gender, and Social Inclusion (GESI), institutional development, knowledge management, organisational learning programmes, all relevant for the assignment. The team will bring a unique perspective to this work, offering an insightful, and thoughtful assessment of UNEP’s work together with the Government of Zimbabwe to build capacity to advance the NAP process.

Name	Profile
Julian Gayfer	Julian has over 30 years’ experience of development practice and aid management founded on a professional background in natural resources and the environment. Much of his work has addressed issues of institutional development and supporting organisations to re-examine their role and institute changes to improve their effectiveness in contributing to development impact. He has extensive review experience at global, national, sub-national and local level. Julian has worked on planning systems and results tracking/interpretation and how organisations internalise and respond to this information, a key part of organisational capacity. He also has experience on capacity building both through long-term country based Technical Assistance roles (1983 – 1999) and consultancy advice (2000 – 2023) including in Southern Africa, and long-standing involvement in bilateral and multilateral support to the processes of climate change adaptation. Julian has been a Director of IOD PARC since 2004.
Fortune Gomo	Fortune has over 8 years of experience in research and consultancy, with educational and professional background in Environmental Science and Water Resources Management. She has experience in conducting programme and project reviews in the fields of water management, Gender Equality and Social Inclusion (GESI) and in Climate adaptation. Fortune also has research experience across climate sensitive sectors of water, energy, and food (agriculture). Fortune’s PhD research looked at the interactions between climate, water, energy, and food (agriculture) in the Zambezi River basin, with a particular focus on Malawi. Her work involved understanding multi-scale, multi-stakeholder complexities and focused on integrative analysis of these complexities. Fortune is from Zimbabwe, and has in country experience in Zimbabwe, having worked at WATENN Consulting Pvt Ltd as Projects Officer, and on several water management and climate resilience and adaptation projects, giving her a strong understanding of the socio-political and socio-economic context of Zimbabwe. Fortune’s experience demonstrates skills in cross-sectoral analysis, to support cross-sectoral policy/decision coherence.
Oswald Dengende	Oswald Dengende is a certified Project Management Professional (PMP) with more than 14 years of international experience in safeguards cross-support and mainstreaming environmental and social agenda in public and private investment projects. He has conducted more than ten (10) mid-term and terminal reviews for climate projects in different sectors in many developing countries. He has led impact assessments, audits, and due diligence studies for projects in many sectors (agriculture, energy, forestry & land use, biodiversity, water & sanitation, health, etc.) supported or funded by Multilateral Development Banks, UN Agencies, and International Donors such as the Green Climate Fund. He conducted more than sixty (60) Environmental and Social Assessment (ESA) studies for high risks projects many of which involved displacement and resettlement of communities and/or impact Indigenous Peoples, heritage, and cultural sites. He wholly developed several Environmental and Social Management Frameworks (ESMFs), Environmental and Social Management Plans (ESMPs) and other subsidiary plans such as Indigenous Peoples Plans (IPPs), Resettlement Action Plans (RAPs), Stakeholder Engagement Plans, Grievance Redress Mechanisms (GRMs) and Emergency Preparedness and Response Plans (EPRPs). He conducted environmental reviews including audits, inspections, and monitoring exercises for multiple project sites to access compliance against IFC/World Bank, UNDP and African Development Bank’s Social and Environmental Safeguards Standards. He has international experience in developing and reviewing climate change mitigation and adaptation project proposals including implementing several climate change projects in many developing countries.
Singe Day (Quality Assurance)	Singe is a Chartered Water Engineer and Water and Environmental Manager with more than 20 years professional experience. 15 years overseas experience working in Africa, Central, East and South Asia; as well as Fragile and Conflict Affected States. Extensive knowledge of the engineering and management of urban and rural water supply and sanitation services, water resources management and river engineering - working with a broad range of project partners. St John has worked at a senior level for several years, which includes team leadership and providing technical advice and guidance to Ministers and senior Government

officials. He has overseen key studies related to urban water supply, such as water resources monitoring and management, water supply, small towns water supply management options and establishing emergency water supplies. He manages institutional development and capacity building projects and has acted as an advisor to governments, water utilities, municipalities, international donors, UN agencies and NGO's.



# Annex 11: Review ToR (without Annexes)

## TERMS OF REFERENCE

### Terminal Review of the UNEP/GCF Readiness project “Project Title” and “ID Number”

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

*(This section describes what is to be reviewed. Key parameters are: project timeframe, funding envelope, results framework and geographic scope)*

#### 1. Project General Information

Table 1. Project Identification

UNEP Sub-programme:	CCA	UNEP Division/Branch:	Ecosystems Division/Nature and climate Branch
UNEP Expected Accomplishment(s):	EA (b)	Programme of Work Output(s):	
SDG(s) and indicator(s)	1.5.3, 13.a.1		
Dates of previous project phases:	N/A	Status of future project phases:	N/A

*Cover the following – copy/paste from the latest project identification table:*

Project Title and ID:	Building capacity to advance National Adaptation Plan Process in Zimbabwe: ZWE RS 002		
Main Project Partner/ Executing Agency:	Ministry of Environment, Water and Climate now renamed Ministry of Environment, Climate, Tourism and Hospitality Industry (MECTHI)		
Other Project Partners:	N/A		
Participating Countries/Regions:	Zimbabwe		
Funding Partner Focal Area(s):	GCF Adaptation	Funding Partner Strategic Priority:	Country Programming
Funding Partner Approval Date:	11/05/2018	UNEP Approval Date:	11/05/2018
Preparation Grant Cost:	N/A	Preparation Grant Co-financing:	N/A
Actual Start Date:	27 February 2019	Planned Duration:	64 Months
Intended Completion Date:	30 August 2023	Actual or Expected Completion Date:	
Project Type:		Value of Grant(s):	USD 2,886,725
Expected Project Co-financing:	N/A	Total Project Secured Funds:	USD 2,886,725

<b>Total Co-financing Realized as of 31 December [year]:</b>	N/A	<b>Actual Expenditures as of 31 December [year]:</b>	1,981,851
<b>Date of Last Steering Committee Meeting:</b>	22/08/2022	<b>No. of Revisions and Date of Last Revision:</b>	Three. Latest revision ongoing
<b>Mid-term Review/Eval. (planned date):</b>	N/A	<b>Mid-term Review/Eval. (actual date):</b>	N/A
<b>Terminal Review (planned date):</b>	01 April 2023	<b>Terminal Review (actual date):</b>	01 June 2023

## 2. Project Rationale

[Describe project context and justification]

The Republic of Zimbabwe (hereafter referred to as Zimbabwe) is a land-locked country in southern Africa that is particularly vulnerable to climate change. Its climate is predominantly semi-arid and is extremely variable, being strongly influenced by the Inter Tropical Convergence Zone<sup>5</sup>. As a result, the country is prone to shifting rainfall patterns, droughts, and periodic floods, which have severe implications for climate-sensitive economic sectors and food security. Climate change is exacerbating these problems by increasing the frequency and intensity of such extreme weather events. For example, the 2015/2016 El Nino event caused a significant drought, which was declared a State of Disaster and left over 4.1 million people in need of food support<sup>6</sup>.

In addition, the impacts of climate change are predicted to disproportionately affect women. A large percentage (~70%) of the population of Zimbabwe are smallholder farmers, whose primary livelihood is agriculture, and women represent the largest group of people involved in farming activities (~86%)<sup>7</sup>. Disparity between men and women is already acute: women occupy a disadvantaged position in society and are more reliant on nature resources for food and income than men. Women are, therefore, most vulnerable to climate change induced stresses that affect natural resources. However, their experience in using and managing natural resources suggests that women can play an important role in climate change adaptation and mitigation. Although gender mainstreaming has been implemented in Zimbabwe, a comprehensive framework to address gender inequality in climate change adaptation and mitigation is lacking.

With a population of approximately 15 million<sup>8</sup>, the Government of Zimbabwe (GoZ) recognises that climate change and variability are serious threats to its people and the country's social and economic development. As a member of the United Nations Framework Convention on Climate Change (UNFCCC) since 1992 and signatory of the Kyoto Protocol since 2009, Zimbabwe has made some progress in climate change planning in recent years. This includes the development of National Communications and Zimbabwe's Intended Nationally Determined Contribution (INDC) prepared in accordance with – and submitted to – the UNFCCC. To date, the country has mainly relied on external support to fund project-specific interventions at priority intervention sites to address localized needs for climate change adaptation. The UNDP/GEF supported 'Coping with Drought and Climate Change' project, implemented in Chiredzi District from 2008 to 2012 is a prime example. However, an integrated – and largely self-reliant – approach is needed to promote climate-resilient social and economic development on a national scale.

## 3. Project Results Framework

[Present the project objective(s), components, outputs, outcomes and long-lasting impacts, as per the Project Document (i.e. the results framework). Include the Theory of Change diagram, where available. Use tables as appropriate.]

Objectives: The proposed project will enhance the capacity of Zimbabwe's government to advance the NAP process at both the national and sub-national level. This will be done in line with decision 5/CP.17 and UNFCCC NAP Technical Guidelines developed by the LDC Expert Group. All four elements of the NAP process will be considered during development and implementation of NAP prioritized adaptation options. These include: i) laying the groundwork; ii) preparatory elements; iii) implementation strategies; and iv) reporting, monitoring and review.

Outcomes: The project will integrate climate change adaptation options into new and existing national and sub-national policies, strategies, plans, and programmes affecting the main climate-sensitive sectors in Zimbabwe. In addition, climate change adaptation will be incorporated into existing institutional structures, complementing existing development strategies and processes in Zimbabwe. The four outcomes of this project are identified below.

1. Stakeholders capacity to formulate and implement the NAP process in Zimbabwe enhanced.
2. Background information for formulating and implementing the NAP process managed, and adaptation options prioritized.
3. NAP implementation resources identified and studies to inform medium-to long-term climate change adaptation investments conducted.
4. Monitoring, reviewing, and reporting of the NAP process in Zimbabwe improved.

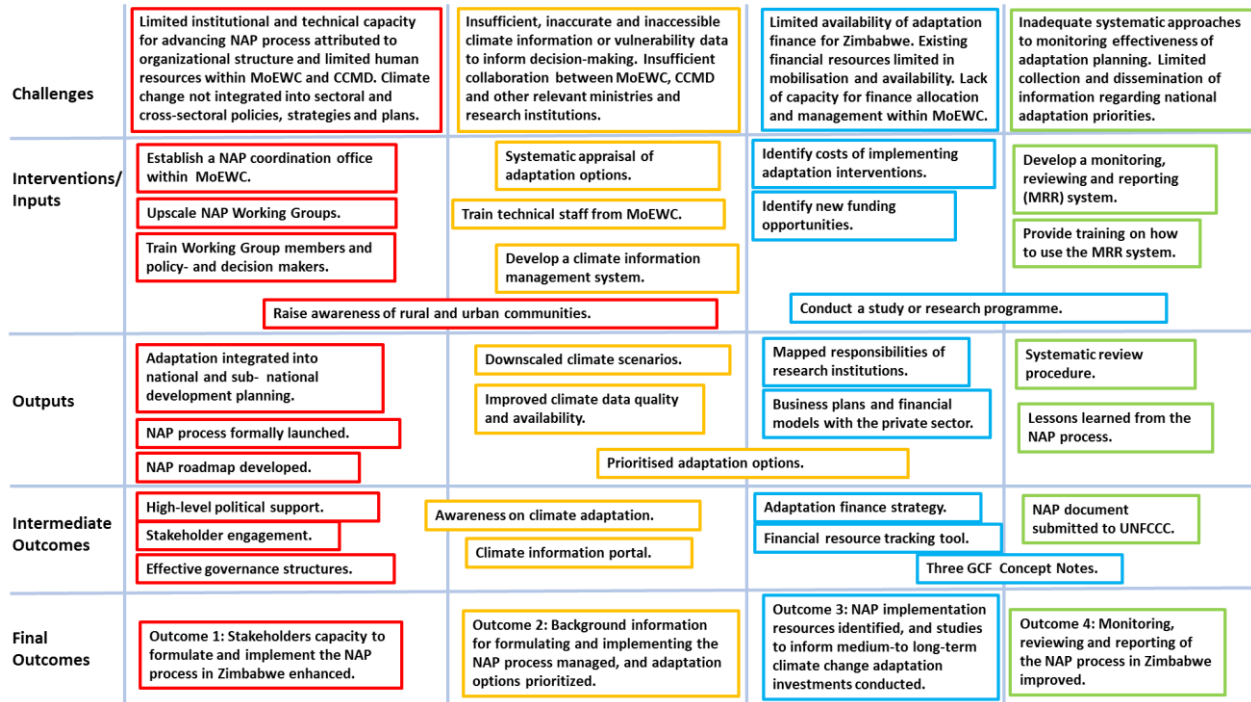
Impacts: Integrating climate change adaptation into national and sub-national planning processes in relevant economic and social development sectors is expected to have several impacts. These impacts are listed below.

1. Promotion of climate resilient development as the vulnerabilities of economic sectors and populations are addressed.
2. Increased support for the mainstreaming of climate change adaptation into policies, strategies and plans through enhanced stakeholder capacity.
3. Effective dissemination of climate change adaptation finance for vulnerable populations, economic sectors, and regions, through increased coordination among relevant ministries and partnerships with the private sector.

By building on existing coordination mechanisms, climate change strategies, national development visions and regulations, the NAP formulation and implementation process avoids duplication and builds on progress made towards addressing the climate change adaptation needs of the country. As a result, the lessons learned from processes such as the preparation of the National Communications, the INDC, NCCRS, and NCP, will be incorporated into the NAP formulation.

The integration of climate change adaptation into existing and future policies, strategies and programmes through the NAP process will further decrease climate vulnerability. In addition, the NAP will increase the efficacy of knowledge and climate change information systems in compiling and disseminating knowledge, experience, lessons learned, gaps and needs at national and sub-national levels as well as international events (e.g. NAP Expo, side-events during COPs sessions and SBIs meetings). Finally, the project will help to mobilise climate change adaptation funding and support the monitoring and review of climate change adaptation measures.

## Theory of Change (ToC)



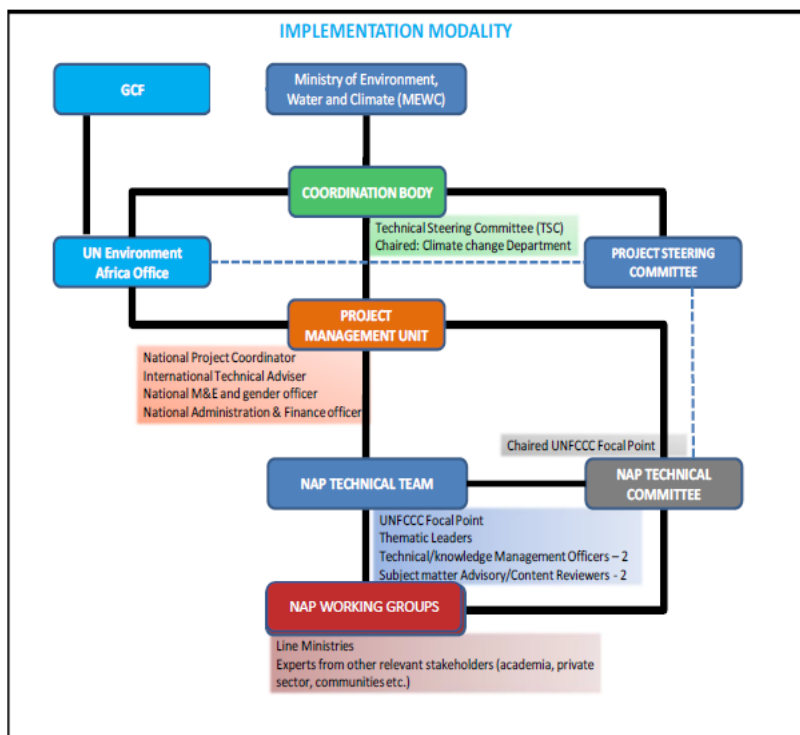
## 4. Executing Arrangements

[Present Main/Implementing Agency and Partner/Executing Agencies. Specify UNEP Branch and Unit responsible for project management and project operationalisation partners. Briefly describe role and composition of management and supervision structures of the project. Use table or diagram as appropriate.]

UN Environment, through its Africa Office, will be responsible for oversight of the implementation of activities, and will facilitate review of the project, which will be done in coordination with the Project Steering Committee (PSC) and the national Project Manager (PM). UN Environment will also be responsible for preparing progress reports and monitoring and review reports, as appropriate. A UN Environment Programme Officer (PO) will be responsible for project supervision to ensure consistency with GCF and UN Environment policies and procedures. The PO functions will consist of the following: i) participate in the annual PSC meetings; ii) facilitate the mid-term review and final review (as appropriate); iii) undertake the Progress Reports; and iv) undertake the technical review of project deliverables, v) providing input to periodic readiness portfolio reporting to GCF; vi) prepare requests for disbursements etc.

UN Environment will submit interim and final progress reports to the GCF in accordance with the terms of the of Framework Readiness and Preparatory Support Grant Agreement between GCF and UN Environment. The NAP implementation modality is as

follows:



## 5. Project Cost and Financing

[Present total project budget at design, broken down per component and per funding source (i.e., Funding Partner grant and any co-financing. Use tables as appropriate. Present most recent figures on expenditure.]

The project is 100% funded by GCF and all disbursements have been received.

Outcome	Output	Cost Categories	Last Approved Budget
			<b>14-Dec-21</b>
1. Institutional Capacity for the NAP process in Zimbabwe	1.1. NAP coordination and governance structures strengthened, and stakeholders' capacity built.	Advertising	1,000.00
		Consultant - Individual - International	27,500.00
		Consultant - Individual - Local	44,000.00
		Audio Visual & Printing	3,000.00
		Travel - International	12,700.00
		Travel - Local	2,300.00
		Workshop/Training	65,000.00
	National project Coordinator	Consultant - Individual - International	7,500.00
	Project Assistant	Consultant - Individual - Local	4,800.00
		<i>Output total:</i>	
1.2. Stakeholders engaged through training and awareness campaigns, including the development of a training		Consultant - Individual - International	15,000.00
		Consultant - Individual - Local	106,500.00
		Audio Visual & Printing	24,000.00
		Travel - International	3,000.00
		Travel - Local	46,000.00

	manual for the NAP process.C28	Workshop/Training	219,000.00
		IT Equipment	3,000.00
	<i>Output total:</i>		<b>416,500.00</b>
	1.3. National policies and sectoral development plans reviewed, and a periodic review process established.	Consultant - Individual - International	12,500.00
		Consultant - Individual - Local	22,700.00
		Travel - International	2,500.00
		Travel – Local	500.00
		Workshop/Training	20,500.00
	<i>Output total:</i>		<b>58,700.00</b>
Component 2: Background preparatory elements to formulate the NAP	2.1. Sustainable climate database management system to inform climate change adaptation established, including a long-term plan for operation and maintenance.	Professional Services – Companies/Firm	100,000.00
		Consultant - Individual - International	-
		Consultant - Individual - Local	142,600.00
		Audio Visual & Printing	15,000.00
		Travel - International	13,100.00
		Travel – Local	8,900.00
		Workshop/Training	108,500.00
	<i>Output total:</i>		<b>388,100.00</b>
	2.2. Adaptation options appraised and prioritized.	Consultant - Individual - International	-
		Consultant - Individual - Local	36,000.00
		Travel - International	6,000.00
		Travel – Local	5,000.00
		Workshop/Training	17,500.00
	<i>Output total:</i>		<b>64,500.00</b>
Component 3: Funding strategy development and implementation for the NAP process	3.1. Costs of climate change adaptation mainstreaming in Zimbabwe estimated.	Consultant - Individual - International	15,000.00
		Consultant - Individual - Local	36,000.00
		Travel - International	10,000.00
		Travel – Local	1,000.00
		Workshop/Training	12,500.00
	<i>Output total:</i>		<b>74,500.00</b>
	3.2. Resource mobilization strategy developed, and existing funding mechanisms revised.	Consultant - Individual - International	112,500.00
		Consultant - Individual - Local	123,000.00
		Audio Visual & Printing	7,000.00
		Travel - International	14,700.00
		Travel – Local	1,300.00
		Workshop/Training	44,500.00
	<i>Output total:</i>		<b>303,000.00</b>
	3.3. Study or research programmes conducted to inform future investments in climate	Research Grant	150,000.00
		Consultant - Individual - International	45,000.00
		Consultant - Individual - Local	66,400.00

	change adaptation across sectors.	Audio Visual & Printing	5,000.00
		Travel - International	11,000.00
		Travel – Local	6,000.00
		Workshop/Training	44,000.00
	<i>Output total:</i>		<b>327,400.00</b>
Component 4: Mechanisms for monitoring, reviewing, and reporting on the NAP process	4.1. A monitoring and reviewing system for the NAP process established.	Consultant - Individual - International	15,000.00
		Consultant - Individual - Local	22,000.00
		Travel - International	2,700.00
		Travel – Local	300.00
		Workshop/Training	8,500.00
	<i>Output total:</i>		<b>48,500.00</b>
	4.2. In-depth training of representatives and stakeholders on the NAP monitoring and reviewing system conducted national government	Consultant - Individual - International	42,500.00
		Consultant - Individual - Local	34,500.00
		Audio Visual & Printing	10,000.00
		Travel - International	4,500.00
		Travel – Local	1,000.00
		Workshop/Training	88,000.00
	<i>Output total:</i>		<b>180,500.00</b>
	4.3. NAP document and communication material on NAP formulation, implementation, funding and monitoring to learn from the NAP process in Zimbabwe developed and disseminated.	Consultant - Individual - International	32,500.00
		Consultant - Individual - Local	142,000.00
		Audio Visual & Printing	84,000.00
		Travel - International	2,700.00
		Travel – Local	26,300.00
		Audio Visual & Printing	5,000.00
		Workshop/Training	65,500.00
	<i>Output total:</i>		<b>358,000.00</b>
<b>Project Outcome Total</b>			<b>2,387,500.00</b>
Project Management Cost		Audit Fee	9,900.00
		Consultant - Individual - Local	117,500.00
		Consultant - Individual - Local	75,200.00
		Office Supplies	20,000.00
		Workshop/Training	9,000.00
		Others (Bank Charges)	15,000.00
		<b>PMC total</b>	<b>246,600.00</b>
<b>Contingency</b>			<b>49,275.00</b>
<b>Delivery Partner Fee</b>			<b>202,900.00</b>

Project total

2,886,275.00

## 6. Implementation Issues

[Record any important issues that have arisen in the implementation of the project including: important issues emerging from Mid-Term Review, significant delays, changes in partners, implementing countries and/or results statements. Some of these issues may have been reported in the annual Project Implementation Review reports. Note the dates when such changes have been approved and who by]

MTR was not a requirement for the NAP Projects. Most delays relating to this project are related to the impacts of COVID 19 and delays in the recruitment process for the international consultants.

## Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

*(Apart from section 9, where you could insert up to 3 strategic questions that are in addition to the review criteria, this section is standard and does not need to be revised for each project)*

## 7. Objective of the Review

In line with the UNEP Review Policy<sup>20</sup> and the UNEP Programme Manual<sup>21</sup>, the Terminal Review (TR) is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness, and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Review 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, GCF and Ministry of Environment, Climate, Tourism and Hospitality Industry (MECTHI)]. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.

## 8. Key Review Principles

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

**The “Why?” Question.** As this is a Terminal Review and similar interventions are envisaged for the future, particular attention will be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultant(s)’ minds all through the review exercise and is supported using a theory of change approach. This means that the consultant(s) 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 (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

**Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for reviews. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be

<sup>20</sup> <https://www.unenvironment.org/about-un-environment/review-office/policies-and-strategies>

<sup>21</sup> <https://wecollaborate.unep.org>



inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

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

## 9. Key Strategic Questions

In addition to the review criteria outlined in Section 10 below, the Review will address the **strategic questions**<sup>22</sup> listed below (no more than 3 questions are recommended). These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution.

Q1: - To what extent has integration of climate change adaptation happened at the district level or local level?

Q2: - How sustainable is the NAP Process?

Q3: - is there a robust NAP M&E system in place with relevant indicators?

Q4: (Where relevant) What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

## 10. Review Criteria

All review criteria will be rated on a six-point scale. Sections A-H below, outline the scope of the review criteria. The set of review criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Effectiveness<sup>23</sup>, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (D) Financial Management; (E) Efficiency; (F) Monitoring and Reporting; (G) Sustainability; and (H) Factors Affecting Project Performance/Cross-Cutting Issues.

### A. Strategic Relevance

The Review will assess the extent to which the activity is suited to the priorities and policies of UNEP, the GCF, implementing regions/countries and the target beneficiaries. The Review will include an assessment of 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. Under strategic relevance an assessment of the complementarity/coherence of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises two elements:

#### i. **Alignment to the UNEP, Donors, and Country (Global, Regional, Sub-regional and National) Strategic Priorities**

The Review should assess the project's alignment with UNEP's Medium-Term Strategy and the Programme of Work under which the project was approved. Other UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building (BSP) and South-South Cooperation (S-SC). Alignment with the GCF strategic priorities that prevailed at the time of approval should be considered, as well as global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions, or regions where it is being implemented will also be considered.

#### ii. **Complementarity/Coherence<sup>24</sup> with Relevant Existing Interventions**

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<sup>22</sup> The strategic questions should not duplicate questions that will be addressed under the standard review criteria described in section 10.

<sup>23</sup> For GCF funded projects the assessment of Effectiveness includes an assessment of innovativeness, replication and scalability and negative and positive effects, as appropriate.

<sup>24</sup> This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>25</sup>, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector, or institution) that address similar needs of the same target groups. The Review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

For GCF the consultant should assess the project's coherence in climate finance delivery with other multilateral entities, looking at how GCF financing is additional and able to amplify other investments or de-risk and crowd-in further climate investment.

## **B. Quality of Project Design**

The quality of project design should be assessed based on the GCF investment criteria, see Annex 1, GCR Readiness Proposal Appraisal Criteria.

## **C. Effectiveness**

The Review should consider, under all levels of Effectiveness, the project's Innovativeness in result areas – the extent to which interventions may lead to paradigm shift towards low-emission and climate-resilient development pathways. It should focus on identification of innovations (proof of concept, multiplication effects, new models of finance, technologies, etc.) and how changes that bring about paradigm shift can contribute or be attributed to GCF investment.

### **i. Availability of Outputs<sup>26</sup>**

The Review will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

### **ii. Achievement of Project Outcomes<sup>27</sup>**

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed<sup>28</sup> Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

### **iii. Likelihood of Impact**

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<sup>25</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>26</sup> Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities, and awareness of individuals or within institutions (UNEP, 2019)

<sup>27</sup> Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019).

<sup>28</sup> UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an e will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds), and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the review.

Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the Review will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states, or long-lasting impacts. The Review Office's approach to the use of TOC in project reviews is outlined in a guidance note and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The Review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

Where appropriate, the Review will consider the extent to which the project has played a catalytic role<sup>29</sup> or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long-lasting impact.

Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-lasting or broad-based changes. However, the Review will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals, and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

For GCF the consultant will assess the extent to which interventions may lead to paradigm shift towards low-emission and climate-resilient development pathways.

#### **iv. Adaptive Management**

The Review Consultant will consider the project's performance from a risk perspective considering: a) the reasons behind any non/late delivery of the project's workplan and factors that undermined either the achievement of, or the endurance of, project achievements.

The Review will assess the extent to which the intervention adapted during implementation in response to lessons and reflections during implementation; and the extent to which the intervention supports the use, development, or diffusion of innovative practices, tools, or technologies to meet its objectives.

### **C. Financial Management**

Tables showing the planned project budget, secured funds and actual expenditure will be completed based on documentation shared by the project team (see Annex 5). If issues of concern come to the attention of the Reviewer, they will record any areas of major concern regarding a) adherence with UNEP's or the GCF's financial management policies; b) any financial management issues that have substantively affected the timely delivery of the project or the quality of its performance and c) where any standard and required financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner.

### **D. Efficiency**

Under the efficiency criterion, the Review will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

Focusing on the translation of inputs into outputs, *cost-effectiveness* is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. *Timeliness* refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The Review will also assess to what extent any project extension could have been

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<sup>29</sup>The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The Review will describe any cost or time-saving measures put in place to maximize results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The Review will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies, and complementarities<sup>30</sup> with other initiatives, programmes, and projects etc. to increase project efficiency.

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

## **E. Monitoring and Reporting**

The Review will assess monitoring and reporting across two sub-categories: monitoring of project implementation and project reporting.

### **i. Monitoring at Country Level**

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>31</sup> results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalization, or vulnerability, including those living with disabilities.

The Review will assess whether a monitoring system was operational and facilitated the timely tracking of results at country level and progress towards project objectives throughout the project implementation period. This assessment will include consideration of whether the country team gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups, including gendered, marginalized, or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the country-level information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Review should confirm that funds allocated for monitoring were used to support this activity.

### **ii. Project Reporting, including at Country Level**

The Review will assess the extent to which the country teams met UNEP and GCF reporting commitments. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

## **H. Sustainability**

Sustainability<sup>32</sup> is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Review will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e., 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

### **i. Institutional, Socio-political, and Financial Sustainability**

The Review will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits

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<sup>30</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

<sup>31</sup> SMART refers to results that are specific, measurable, achievable, relevant and time oriented. Indicators help to make results measurable.

<sup>32</sup> As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment).

associated with the project outcomes after project closure. In particular, the Review will consider whether institutional capacity development efforts are likely to be sustained.

As appropriate to the nature of the project, the Review will assess the extent to which social, political, or financial factors support the continuation and further development of the benefits derived from project outcomes. For example, it may consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In some cases, project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g., continuation of a new natural resource management approach. The Review will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project outcomes have been extended into a future project phase. Even where future funding has been secured, the question remains as to whether the project outcomes are financially sustainable.

Where project resources have been directed towards capacity development, the Review will consider whether individual capacity development efforts are likely to be sustained.

## **ii. GCF Investment Criteria**

The Review consultant will assess the extent to which the project has delivered against the GCF investment criteria (see list of criteria within Annex 2).

## **I. Factors Affecting Project Performance and Cross-Cutting Issues**

*(These factors are rated in the ratings table but may be discussed within the Main Review Report as cross-cutting themes as appropriate under the other review criteria, above. If these issues have not been addressed under the Review Criteria above, then independent summaries of their status within the reviewed project should be given.)*

### **i. Preparation and Preparedness**

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

### **ii. Quality of Project Management and Supervision**

As 'project management and supervision' may refer to the supervision and guidance provided by UNEP to implementing partners and national governments or to the project management performance of an implementing partner and the technical backstopping and supervision provided by UNEP, two different ratings should be provided. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (Accredited Entity; Executing Entity) and the overall rating for this sub-category established as a simple average of the two.

The Review will assess the effectiveness of project management with regard to providing leadership towards achieving the planned outputs; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

### **iii. Stakeholder Participation and Cooperation**

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

### **iv. Gender Equity**

The Review will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human

rights context the Review will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment<sup>33</sup>.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equality and Human Rights are adequately considered. In particular, the Review will consider to what extent project, implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

For GCF the review should assess the extent to which the project has demonstrated an integrated understanding on how the impacts of climate change are differentiated by gender, the ways that behavioural changes and gender can play in delivering paradigm shift, and the role that women play in responding to climate change challenges both as agents but also for accountability and decision-making.

#### **v. Environmental and Social Safeguards**

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The Review will confirm whether UNEP requirements<sup>34</sup> were met to *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned, are reviewed above under Quality of Project Design).

The Review will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the UNEP Project Manager.

#### **vi. Country Ownership and Drivenness.**

The Review will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e., either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g., representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gender and marginalised groups.

#### **vii. Communication and Public Awareness`**

The Review will assess the effectiveness of a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The Review should consider whether existing

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<sup>33</sup> The Review Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. [https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender\\_equality\\_and\\_the\\_environment\\_Policy\\_and\\_strategy-2015Gender\\_equality\\_and\\_the\\_environment\\_policy\\_and\\_strategy.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y)

<sup>34</sup> For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016.

communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the Review will comment on the sustainability of the communication channel under either socio-political, institutional, or financial sustainability, as appropriate.

### **Section 3. REVIEW APPROACH, METHODS, AND DELIVERABLES**

The Terminal Review will be an in-depth review using a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative review methods will be used as appropriate to determine project achievements against the expected outputs, outcomes, and impacts. It is highly recommended that the consultant maintains close communication with the project team and promotes information exchange throughout the review implementation phase to increase their (and other stakeholder) ownership of the review findings. Where applicable, the consultant should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g., sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

The findings of the Review will be based on the following: [This section should be edited for each Review]

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

- Relevant background documentation, inter alia [framework agreement with GCF and the project proposal];
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget.
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.
- Project deliverables (e.g., publications, assessments etc): [Meeting minutes, workshop reports, field visits];
- Mid-Term Review of the project.
- Reviews/Reviews of similar projects.

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

- UNEP Project Manager (PM)
- Project management team.
- UNEP Fund Management Officer (FMO).
- Portfolio Manager and Sub-Programme Coordinator, where appropriate.
- Project partners, including [list].
- Relevant resource persons.
- Representatives from civil society and specialist groups (such as women's, farmers, and trade associations etc).

(c) **Surveys** [provide details, where appropriate]

(d) **Field visits** [provide details, where appropriate]

(e) **Other data collection tools** [provide details, where appropriate]

## **11. Review Deliverables and Review Procedures**

The Review Consultant will prepare:

- **Inception Report:** (see Annex 1 for a list of all templates, tables, and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, review framework and a tentative review schedule.
- **Preliminary Findings Note:** typically, in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings.
- **Draft and Final Review Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

**Review of the Draft Review Report.** The Review Consultant will submit a draft report to the UNEP Project Manager and revise the draft in response to their comments and suggestions. The UNEP Project Manager will then forward the revised draft report to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the UNEP Project Manager for consolidation. The UNEP Project Manager will provide all comments to the Review Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The final version of the Terminal Review report will be assessed for its quality by the UNEP Review Office using a standard template and this assessment will be annexed to the final Terminal Review report.

At the end of the review process, the UNEP Project Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals, and circulate the **Lessons Learned**.

## 12. The Review Consultant

The Review Consultant will work under the overall responsibility of the UNEP Project Manager [Jessica Troni and Gift Gewona], in consultation with the Fund Management Officer [Stephen Ndeti], the Head of Unit/Branch [Richard Munang] the Portfolio Manager [Jessica Troni] and the Sub-programme Coordinators of the [NEP Sub-programmes], [Richard Munang and Niklas Hagelberg].

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

The Review Consultant will be hired over a period of 3 (three) months [01 June 2023 to 30 August 2023] and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 7-10 years of technical / review experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of [Climate change adaptation] is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Review Consultant will be responsible, in close consultation with the UNEP Project Manager, for overall quality of the review and timely delivery of its outputs, described above in Section 11 Review Deliverables, above. The Review Consultant will ensure that all review criteria and questions are adequately covered.

## 13. Schedule of the Review

The table below presents the tentative schedule for the Review.

### Table 3. Tentative schedule for the Review



Milestone	Tentative Dates
Inception Report	June 2023
Review Mission (where appropriate)	June 2023
E-based interviews, surveys etc.	June 2023
PowerPoint/presentation on preliminary findings and recommendations	July 2023
Draft Review Report to UNEP Project Manager	July 2023
Draft Review Report shared with wider group of stakeholders	July 2023
Final Review Report	August 2023
Final Review Report shared with all respondents	August 2023

#### 14. Contractual Arrangements

The Review Consultant will be selected and recruited by the UNEP Project Manager under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP/UNON, the consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

Fees will be paid on an instalment basis, paid on acceptance and approval by the UNEP Project Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment:

Deliverable	Percentage Payment
Approved Inception Report ( <i>as per Annex I document #9</i> )	30%
Approved Draft Main Review Report ( <i>as per Annex I document #10</i> )	30%
Approved Final Main Review Report	40%

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

The consultant may be provided with access to UNEP’s information management systems (e.g., PIMS, Anubis, SharePoint, etc.) and, if such access is granted, the consultant agrees not to disclose information from that system to third parties beyond information required for, and included in, the Review Report.

In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of the Head of Branch or Portfolio Manager until the consultant has improved the deliverables to meet UNEP’s quality standards.

If the consultant fails to submit a satisfactory final product to the UNEP Project Manager in a timely manner, i.e., before the end date of their contract, UNEP reserves the right to employ additional human resources to finalize the report, and to reduce the consultant’s fees by an amount equal to the additional costs borne by the project team to bring the report up to standard or completion.

# Annex 12: GCF Investment Criteria

INVESTMENT CRITERION	INDICATOR	EXPLANATION	EXAMPLE	ASSESS STRENGTHS & WEAKNESSES OF EACH CRITERION AT DESIGN & IDENTIFY AREAS NEEDING REVISION (Mid Term)
Impact potential	Mitigation impact	Describe the expected reductions in emissions from the GCF intervention (in tCO <sub>2</sub> eq)	<b>FP028 Mongolia:</b> Business loan programme for GHG emission reduction Total GHG emissions reduced or avoided during project lifespan: 1.2 MtCO <sub>2</sub> eq	
	Adaptation impact	Describe the expected change in loss of lives, value of physical assets, livelihoods, and/or environmental or social losses due to the impact of extreme climate-related disasters and climate change in the geographical area of the GCF intervention. Proposals should also refer to the number of direct and indirect beneficiaries of the project	<b>FP056 Colombia:</b> Scaling up climate-resilient water management practices Enhancement of rural livelihoods through water-resilient agroecosystems – food security, generation of income; Improved management of water resources to strengthen the resilience of rural communities and smallholder farmers; and Enhancement of adaptive capacity through increased capacity to generate and use climate information services and early warning systems	
Paradigm shift potential	Necessary conditions	Outline how the proposed project can catalyse impact beyond one-off investment, accompanied by a robust and convincing theory of change for replication and/or scaling up the project results	<b>FP056 Colombia:</b> Aims to shift from a disaster response approach to an integrated strategy approach based on preventive risk management, through adaptation to floods and drought; and Includes a theory of change detailing the problems, barriers and activities to address those barriers, the outputs and overall outcome I. <b>FP070 Bangladesh:</b> Potential for global replication and scaling up throughout Bangladesh; and addresses key barriers in supply and demand by using a model that is recognized globally as one of the most successful programmes in the sector	

Sustainable development potential	Co-benefits	<p>Identify at least one positive co-benefit in at least two of the four coverage areas: economic, social, environmental, and gender empowerment. The proposal should provide an associated indicator, as well as baseline and target values for the co-benefits. Where appropriate, proposals should reference the achievement of one or more of the United Nations Sustainable Development Goals</p>	<p><b>FP025 Multiple countries: Sustainable energy financing facilities</b></p> <p><u>Economic benefits:</u> Creation of markets. 20,000 commercial projects across sectors and raising awareness, available capital for sustainable energy financing, capacity-building, etc., 11,500 green jobs;</p> <p>Social benefits: Heating. Improving the efficiency of heating systems, equipment and building energy use. Improving adaptive capacities of vulnerable groups (e.g. farmers); and</p> <p><u>Gender-sensitive development impact:</u> Filling the financing gap which mirrors the underinvestment in gender equality. Adoption of the strategy of the European Bank for Reconstruction and Development for the promotion of gender equality</p> <p>II.</p>
Needs of the recipient	Barriers to climate-related finance	<p>Describe the country's financial, economic, social and institutional needs and the barriers to accessing climate finance and how the proposed intervention will address the identified needs and barriers</p>	<p><b>FP005 Rwanda and Kenya: KawiSafi Ventures Fund</b></p> <p>Enabling innovative, early-stage companies to develop and build financially viable business models that have scaled social impact;</p> <p>Investing in addressing the needs of off-grid households, which are typically rural, low-income and difficult to reach; and</p> <p>Long-term investment capital is needed as traditional investors are wary of the risks and it takes a relatively long time to build companies and achieve a financial return</p> <p>III.</p>

<p>Country ownership</p>	<p>Alignment with NDCs, relevant national plan indicators, and/or enabling policy and institutional frameworks</p> <p>Describe how the proposed activities are aligned with the country's NDC and other national plans, and how the funding proposal will help to achieve the NDC or those plans. Also reference the degree to which the project is supported by a country's enabling environment</p>	<p><b>FP035 Vanuatu: Climate information services for resilient development</b></p> <p>Vanuatu Climate Change and Disaster Risk Reduction Policy 2016–2030: mainstreaming climate change and disaster risk reduction into sustainable development processes for Vanuatu; Vanuatu Meteorology and Geo-Hazards Department Strategic Development Plan 2014–2030; and Vanuatu Framework for Climate Services</p> <p>IV.</p> <p><b>FP038 Multiple countries: GEEREF NeXt</b></p> <p>Countries involved have committed to NDC targets; for the majority of those countries it would be impossible to meet NDC targets without significant foreign direct investment flows; and Discusses the capacity of accredited entities and executing entities</p> <p>V.</p>
	<p>Explanation of engagement with relevant stakeholders</p> <p>Outline how proposals were developed in consultation with relevant stakeholders. Engagement with national designated authorities is required</p>	<p><b>FP035 Vanuatu</b></p> <p>Engagement with all national and subnational-/ community-level stakeholders to ensure that the project design is consistent with and complementary to the prescribed priorities of relevant national plans and strategies</p> <p>VI.</p> <p><b>FP038 GEEREF NeXt</b></p> <p>Seeks to work with local development plans, small and medium-sized enterprises and local developers; and Discusses engagement with national designated authorities, civil society, organizations and other relevant stakeholders</p>

			VII.
	Mitigation: cost per tCO <sub>2</sub> eq	Provide the cost per tCO <sub>2</sub> eq of the GCF intervention	<p><b>FP085 Pakistan: Green BRT Karachi</b></p> <p>Outlined in section E.6.5a of the proposal: estimated cost per tCO<sub>2</sub>eq is USD 224/tCO<sub>2</sub>eq; estimated GCF cost per tCO<sub>2</sub>eq removed (e = b/c) USD 19/tCO<sub>2</sub>eq</p>
Efficiency and effectiveness	Mitigation: ratio of co-financing	Indicate the ratio of co-financing mobilized relative to the GCF contribution to the total project, as appropriate	<p>VIII.</p> <p><b>FP085 Pakistan Green BRT Karachi</b></p> <p>Outlined in section E.6.5 of the proposal: a breakdown of how the GCF financing of USD 49 million is going to be leveraged by the BRT project is illustrated below and broken down by cost component. All funds are public funds. No private capital investment is used;  Asian Development Bank: USD 442 million (83 per cent of co-financing); 100 per cent loan;  Islamic Republic of Pakistan: USD 92.5 million (17 per cent of co-financing); 100 per cent grant;  Total co-financing: USD 534.5 million;  Total amount of GCF funding: USD 49 million;  Total project finance: USD 583.5 million; and  Co-financing ratio: 1:10</p>
Efficiency and effectiveness	Mitigation: expected rate of return	Provide an estimate of the expected economic internal rate of return and/or financial internal rate of	<p>IX.</p> <p><b>FP040 Tajikistan: Scaling up hydropower sector climate resilience</b></p> <p>Outlined in section E.6.3 of the funding proposal: the economic</p>

return, depending on the needs of the project

internal rate of return is 21.71 per cent and the financial internal rate of return is 6.88 per cent

X.

**FP040 Tajikistan**

Mitigation and adaptation:  
application of best practices

Describe how the proposal applies and builds on the best practices in the sector

The European Bank for Reconstruction and Development is involved in policy dialogue with the Tajik Government supporting energy tariff reform, which is envisioned to contribute significantly to the financial sustainability of the Tajik energy sector;  
Inclusion of long-term planning and climate change considerations ensure the resilience and efficiency of the project in the long term; and provides application of best practices

XI.

# Annex 13: Quality Assessment of the Review Report

## Quality Assessment of the Terminal Review Report

<p>Review Title: Terminal Review: Building capacity to advance National Adaptation Plan Process in Zimbabwe (ZWE RS 002)</p> <p>Consultant: IOD-PARC (Julian Gayfer, Fortune Gomo, Oswald Dengende, Singe Day)</p>
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All UNEP Reviews are subject to a quality assessment by the UNEP Evaluation Office. This is an assessment of the quality of the review product (i.e. Main Review Report).

	UNEP Evaluation Office Comments	Final Report Rating
<b>Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary</b>  <u>Purpose:</u> acts as a stand alone and accurate <u>summary</u> of the main review product, especially for senior management.            To include:</p> <ul style="list-style-type: none"> <li>• concise overview of the review object</li> <li>• clear summary of the review objectives and scope</li> <li>• overall review rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria</li> <li>• reference to where the review ratings table can be found within the report</li> <li>• summary response to key strategic review questions</li> <li>• summary of the main findings of the exercise/synthesis of main conclusions</li> <li>• summary of lessons learned and recommendations.</li> </ul>	<p>The summary is clear and concise with review scope, the project, key findings, and recommendations. Some findings could have been presented with more reference to the evidence found. It does not include review objective, purpose, reference to overall performance rating of project, response to strategic questions (listed in TOR) and lessons learned.</p>	3.5
<p><b>Quality of the 'Introduction' Section</b>  <u>Purpose:</u> introduces/<u>situates</u> the evaluand in its institutional context, establishes its main parameters (time, value, results, geography) and the purpose of the review itself.            To include:</p> <ul style="list-style-type: none"> <li>• institutional context of the project (sub-programme, Division, Branch etc)</li> <li>• date of PRC approval, project duration and start/end dates</li> <li>• number of project phases (where appropriate)</li> <li>• results frameworks to which it contributes (e.g. POW Direct Outcome)</li> <li>• coverage of the review (regions/countries where implemented)</li> <li>• implementing and funding partners</li> <li>• total secured budget</li> <li>• whether the project has been evaluated in the past (e.g. mid-term, external agency etc.)</li> </ul>	<p>Clear and brief introduction meeting most of the elements of the report quality criteria.</p> <p>The section does not include institutional context, date of approval, and results framework</p>	4

<ul style="list-style-type: none"> <li>• concise statement of the purpose of the review and the key intended audience for the findings.</li> </ul>		
<p><b>Quality of the 'Review Methods' Section</b></p> <p><u>Purpose:</u> provides reader with clear and comprehensive description of review methods, demonstrates the <u>credibility</u> of the findings and performance ratings.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• description of review data collection methods and information sources</li> <li>• justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face)</li> <li>• number and type of respondents (<i>see table template</i>)</li> <li>• selection criteria used to identify respondents, case studies or sites/countries visited</li> <li>• strategies used to increase stakeholder engagement and consultation</li> <li>• methods to include the voices/experiences of different and potentially excluded groups (e.g. vulnerable, gender, marginalised etc)</li> <li>• details of how data were verified (e.g. triangulation, review by stakeholders etc.)</li> <li>• methods used to analyse data (scoring, coding, thematic analysis etc)</li> <li>• review limitations (e.g. low/ imbalanced response rates across different groups; gaps in documentation; language barriers etc)</li> <li>• ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected. Is there an ethics statement? E.g. <i>'Throughout the review process and in the compilation of the Final Review Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made.'</i></li> </ul>	<p>All report quality requirements are covered, including the limitations to the methodology and justification for methods. No mention of ethics and human rights issues and methods to ensure that potentially excluded groups (excluded by gender, vulnerability, or marginalisation).</p>	<p>4.5</p>
<p><b>Quality of the 'Project' Section</b></p> <p><u>Purpose:</u> describes and <u>verifies</u> key dimensions of the evaluand relevant to assessing its performance.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses)</li> <li>• <i>Results framework:</i> summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders:</i> description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners:</i> description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation:</i> any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p>A well-structured section covering most of the elements of the report quality criteria. It is not clear if the "sub-components" in table 4 are in fact the planned outcomes of the results framework. This is confirmed later in the report.</p> <p>Good analysis of changes in design during implementation, however, risk management of project due delays from COVID-19 is not tied to UNEP project management processes/ requirements. There is no reference to Annex 6 which presents the budget for design and expenditure by components.</p>	<p>4</p>



<p><b>Quality of the Theory of Change</b></p> <p><u>Purpose:</u> to set out the TOC at Review in diagrammatic and narrative forms to support consistent project performance; to articulate the causal pathways with drivers and assumptions and justify any reconstruction necessary to assess the project's performance.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>description of how the <i>TOC at Review</i><sup>35</sup> was designed (who was involved etc)</li> <li>confirmation/reconstruction of results in accordance with UNEP definitions</li> <li>articulation of causal pathways</li> <li>identification of drivers and assumptions</li> <li>identification of key actors in the change process</li> <li>summary of the reconstruction/results re-formulation in tabular form. <i>The two results hierarchies (original/formal revision and reconstructed) should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i> This table may have initially been presented in the Inception Report and should appear somewhere in the Main Review report.</li> </ul>	<p>This section does not comply with guidelines. The articulation of causal pathways is presented as per the Prodoc TOC. There is no summary of the reconstruction/results re-formulation in tabular form, and there is no presentation of the two results hierarchies (original/formal revision and reconstructed) as a two-column table. The TOC table which adds assumptions and risks does not indicate elements of the original TOC that has been reconstructed by the evaluation team for the evaluation.</p>	<p>3.5</p>
<p><b>Quality of Key Findings within the Report</b></p> <p><u>Presentation of evidence:</u> nature of evidence should be clear (interview, document, survey, observation, online resources etc) and evidence should be explicitly triangulated unless noted as having a single source.</p> <p><u>Consistency within the report:</u> all parts of the report should form consistent support for findings and performance ratings, which should be in line with UNEP's Criteria Ratings Matrix.</p> <p><u>Findings Statements (where applicable):</u> The frame of reference for a finding should be an individual review criterion or a strategic question from the TOR. <b>A finding should go beyond description and uses analysis to provide insights that aid learning specific to the evaluand.</b> In some cases a findings statement may articulate a key element that has determined the performance rating of a criterion. Findings will frequently provide insight into 'how' and/or 'why' questions.</p>	<p>The findings statements were clear and provided and analysis. Most of the time, the source of the evidence was provided, and findings were triangulated.</p> <p>More details on evidence sources and specific references (page numbers, etc.) could have added further value to the credibility of findings.</p>	<p>4.5</p>
<p><b>Quality of 'Strategic Relevance' Section</b></p> <p><u>Purpose:</u> to present evidence and analysis of project strategic relevance with respect to UNEP, partner and geographic policies and strategies at the time of project approval.</p> <p>To include:</p> <p>Assessment of the evaluand's relevance vis-à-vis:</p> <ul style="list-style-type: none"> <li>Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities</li> <li>Alignment to Donor/GEF/Partners Strategic Priorities</li> <li>Relevance to Regional, Sub-regional and National Environmental Priorities</li> </ul>	<p>A well-structured section covering almost all the elements of the report quality criteria.</p> <p>National priorities of CCMD assessed well, including GCF Strategic priorities and UNEP Bali Strategic Plan.</p> <p>Alignment with other specific UNEP strategic priorities (POW, MTS) is not addressed.</p>	<p>4</p>

<sup>35</sup> During the Inception Phase of the review process a *TOC at Review Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the review process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

<ul style="list-style-type: none"> <li>Complementarity with Existing Interventions: complementarity of the project at design (or during inception/mobilisation<sup>36</sup>), with other interventions addressing the needs of the same target groups.</li> </ul>		
<p><b>Quality of the 'Quality of Project Design' Section</b></p> <p><u>Purpose:</u> to present a summary of the strengths and weaknesses of the project design, on the basis that the detailed assessment was presented in the Inception Report.</p>	<p>This section presents the GCF's 12 appraisal criteria, the rating and comments. It does not include an annex of the quality of project design at inception.</p> <p>It's unclear how the review team arrived at that rating by using a "traffic-light" scale instead of using the UNEP Evaluation Office's weighted table.</p>	3.5
<p><b>Quality of the 'Nature of the External Context' Section</b></p> <p><u>Purpose:</u> to describe and recognise, when appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval<sup>37</sup>), and how they affected performance.</p> <p>While additional details of the implementing context may be informative, this section should clearly record whether or not a major and unexpected disrupting event took place during the project's life in the implementing sites.</p>	N/A	N/R
<p><b>Quality of 'Effectiveness' Section</b></p> <p><b>i) Outputs and Project Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Review of outputs organized by each of the project's four components. In Annex there's a more detailed overview. It is not clear on extent to which availability of outputs achieved compared what was planned, extent to which each outcome was achieved. Assessment of achievement of project outcomes does not refer to TOC. Good use of figures for the assessment of outcome 3 and 4.</p>	3.5
<p><b>ii) Achievement of Project Outcomes:</b></p> <p><u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the uptake, adoption and/or implementation of outputs by the intended beneficiaries. This may include behaviour changes at an individual or collective level.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>a convincing and evidence-supported analysis of the uptake of outputs by intended beneficiaries</li> <li>assessment of the nature, depth and scale of outcomes versus the project indicators and targets</li> </ul>	<p>Review of outputs organized by each of the project's four components. In Annex there's a more detailed overview. It is not clear on extent to which availability of outputs achieved compared what was planned, extent to which each outcome was achieved. Assessment of achievement of project outcomes does not refer to TOC. Good use of figures for the assessment of outcome 3 and 4.</p>	3.5

<sup>36</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>37</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

<ul style="list-style-type: none"> <li>• discussion of the contribution, credible association and/or attribution of outcome level changes to the work of the project itself</li> <li>• any constraints to attributing effects to the projects' work</li> <li>• identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).</li> </ul>		
<p><b>(ii) Likelihood of Impact:</b></p> <p><u>Purpose:</u> to present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact, including an assessment of the extent to which drivers and assumptions necessary for change to happen, were seen to be holding.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• an explanation of how causal pathways emerged and change processes can be shown</li> <li>• an explanation of the roles played by key actors and change agents</li> <li>• explicit discussion of how drivers and assumptions played out</li> <li>• identification of any unintended negative effects of the project, especially on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).</li> </ul>	<p>This section meets most of the criteria and considers impact on women and vulnerable groups. There is no explicit link to the TOC in the assessment.</p>	<p>4.5</p>
<p><b>(iii) Adaptive Management:</b> How well does the report assess the extent to which the intervention adapted during implementation in response to lessons and reflections during implementation; and the extent to which the intervention supports the use, development, or diffusion of innovative practices, tools, or technologies to meet its objectives.</p>	<p>The section focuses on effects of COVID-19, however it does not elaborate on what adaptive management measures were taken to address the obstacles met during implementation.</p>	<p>4</p>
<p><b>Quality of 'Financial Management' Section</b></p> <p><u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table (may be annexed).</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>adherence</i> to UNEP's financial policies and procedures</li> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• <i>communication</i> between financial and project management staff</li> </ul>	<p>This section reviews financial practice but does not provide an assessment based on sub-criteria specified in guidelines:</p> <ul style="list-style-type: none"> <li>•adherence to UNEP's financial policies and procedures</li> <li>•completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used. However, a table is presented in Annex 6.</li> </ul>	<p>3</p>
<p><b>Quality of 'Efficiency' Section</b></p> <p><u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under efficiency (i.e. the primary categories of cost-effectiveness and timeliness).</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• discussion of making use, during project implementation, of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• implications of any delays and no cost extensions</li> <li>• the extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	<p>This section meets most of the criteria with the exception of UNEP's environmental footprint.</p>	<p>4.5</p>

<p><b>Quality of 'Monitoring and Reporting' Section</b></p> <p><u>Purpose:</u> to present well-reasoned, complete and evidence-based assessment of the evaluand's monitoring and reporting.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• quality of the monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>)</li> <li>• quality of monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• quality of project reporting (e.g. PIMS and donor reports) \</li> </ul>	<p>This section does not fully meet guidelines as the quality of project reporting is not assessed and the assessment does not address extent to which project monitoring data was used for adaptive management during implementation.</p>	<p>3.5</p>
<p><b>Quality of 'Sustainability' Section</b></p> <p><u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under sustainability (i.e. the endurance of benefits achieved at outcome level).</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• socio-political sustainability</li> <li>• financial sustainability</li> <li>• institutional sustainability</li> <li>• GCF Investment criteria</li> </ul>	<p>This concise section refers to the TOC analysis. It also addresses GCF investment criteria. Both Institutional, Socio-political and Financial Sustainability, and GCF investment criteria have their own rating.</p>	<p>5</p>
<p><b>Quality of Factors Affecting Performance Section</b></p> <p><u>Purpose:</u> These factors are not always discussed in stand-alone sections and may be integrated in the other performance criteria as appropriate. However, if not addressed substantively in this section, a cross reference must be given to where the topic is addressed and that entry must be sufficient to justify the performance rating for these factors.</p> <p>Consider how well the review report, either in this section or in cross-referenced sections, covers the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• preparation and readiness</li> <li>• quality of project management and supervision<sup>38</sup></li> <li>• stakeholder participation and co-operation</li> <li>• responsiveness to human rights and gender equality</li> <li>• environmental and social safeguards</li> <li>• country ownership and driven-ness</li> <li>• communication and public awareness</li> </ul>	<p>This section covers all requirements. Note made that responsiveness to human rights and gender equality has been assessed as "Gender equity and social inclusion". Assessment of UNEP's active role and engagement in project management is not well detailed nor assessed.</p>	<p>4.5</p>
<p><b>Quality of the Conclusions Section</b></p> <p><b>(i) Conclusions Narrative:</b></p> <p><u>Purpose:</u> to present summative statements reflecting on prominent aspects of the <u>performance of the evaluand as a whole</u>, they should be derived from the synthesized analysis of evidence gathered during the review process.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• compelling narrative providing an integrated summary of the strengths and weakness in overall performance (achievements and limitations) of the project</li> <li>• clear and succinct response to the key strategic questions</li> <li>• human rights and gender dimensions of the intervention should be discussed explicitly (e.g. how these dimensions</li> </ul>	<p>This section meets all the requirements except for response to the strategic questions. Gender dimensions are discussed explicitly. The summary table of performance ratings would have benefited from the addition of comments.</p>	<p>4</p>

<sup>38</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP. This includes providing the answers to the questions on Core Indicator Targets, stakeholder engagement, gender responsiveness, safeguards and knowledge management, required for the GEF portal.

<p>were considered, addressed or impacted on)</p> <p><b>ii) Utility of the Lessons:</b>  <u>Purpose:</u> to present both positive and negative lessons that have potential for wider application and use (replication and generalization)  Consider how well the lessons achieve the following:</p> <ul style="list-style-type: none"> <li>are rooted in real project experiences (i.e. derived from explicit review findings or from problems encountered and mistakes made that should be avoided in the future)</li> <li>briefly describe the context from which they are derived and those contexts in which they may be useful</li> <li>do not duplicate recommendations</li> </ul>	<p>This section meets requirements. Lessons reflect/ resonate with findings in the report. Some of the lessons presented read more as conclusions/findings. The guideline table format would have been useful for presentation.</p>	4.5
<p><b>(iii) Utility and Actionability of the Recommendations:</b>  <u>Purpose:</u> to present proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results.  Consider how well the lessons achieve the following:</p> <ul style="list-style-type: none"> <li>are feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when</li> <li>include at least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions</li> <li>represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</li> </ul> <p><u>NOTES:</u>  <b>(i)</b> In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.  <b>(ii)</b> Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.</p>	<p>The recommendations include at least one recommendation relating to strengthening the gender dimension. The recommendations are not presented following the UNEP Evaluation Office guidelines for recommendations (e.g. type of recommendation, priority level and responsibility).</p>	4
<p><b>Quality of Report Structure and Presentation</b>  <b>(i) Structure and completeness of the report:</b>  To what extent does the report follow the Evaluation Office structure and formatting guidelines?  Are all requested Annexes included and complete?</p>	<p>Adherence to guidelines for content of review in the mains but some sections of the report do not follow the Evaluation Office requirements and formatting guidelines.</p>	4
<p><b>(ii) Writing and formatting:</b>  Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document?  Do visual aids, such as maps and graphs convey key information?</p>	<p>Adherence to guidelines for content of review in the mains but some sections of the report do not follow the Evaluation Office requirements and formatting guidelines.</p>	5
<p><b>OVERALL REPORT QUALITY RATING</b></p>		<b>4</b>

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 review report is calculated by taking the mean score of all rated quality criteria.