

**Validated Terminal Review of the UNEP-GEF
Enabling Activities Project
'Technology Needs Assessment Phase III' (TNA III)
GEF ID 9452
2018 – 2023**



UNEP Climate Change Division

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(Technology Needs Assessment Phase III)
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Special acknowledgements to the TNA National Coordinators and consultants that responded to the online survey conducted.

The review consultants hope that the findings, conclusions and recommendations will contribute to the successful finalisation of TNA IV, formulation of TNA V, and to the continuous improvement of similar projects.

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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/GEF Enabling Activities project entitled 'Technology Needs Assessment Phase III' and implemented between 2018 and 2023. The project's overall development goal was to *provide participating countries targeted financial and technical support to prepare new or updated and improved TNAs, including Technology Action Plans (TAPs), for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives*. 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 GEF and the relevant agencies of the project participating countries.

Key words: UNFCCC; Capacity Building; Capacity Development; Project Evaluation; Climate Change; Mitigation; Adaptation; Technology Action Plan; Technology Needs Assessment; Barrier Analysis; Gap Analysis; Terminal Review; TR; GEF; GEF Project.

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LIST OF ACRONYMS

AIT	Asian Institute of Technology
BAEF	Barrier Analysis and Enabling Framework
CCM	Climate Change Mitigation
CGE	Consultative Group of Experts, UNFCCC
COP	Conference of the Parties, UNFCCC
CTCN	UN Climate Technology Centre & Network
DTU	Technical University of Denmark
ENDA	Environment and Development Action in the Third World
EQ	Evaluative Question
ERBD	European Bank for Reconstruction and Development
GCF	Green Climate Fund
GEF	Global Environment Facility
GEF Sec.	GEF Secretariat
GHG	Greenhouse Gas
HYPR	Half-Yearly Progress Report
INDC	Intended Nationally Determined Contribution
LDC	Least Developed Country
LTS	Long-term Strategy
MTR	Mid-term Review
NC	National Communication
NAP	National Adaptation Plan
NDC	Nationally Determined Contribution
NDE	Nationally Designated Entity, UNFCCC Technology Mechanism
NSC	National Steering Committee
ODA	Official Development Assistance
PIF	Project Identification Form
PIR	Project Implementation Review
PoW	Programme of Work
PMC	Project Management Cost
PSC	Project Steering Committee
RC	Regional Centre
SB	Subsidiary Body, UNFCCC
SIDS	Small Island Development State
STAR	System for Transparent Allocation of Resources, GEF
TAP	Technology Action Plan
TEC	Technology Executive Committee, UNFCCC

Tech	Technology
TNA	Technology Needs Assessment
TNA I	Technology Needs Assessment Phase I
TNA II	Technology Needs Assessment Phase II
TNA III	Technology Needs Assessment Phase III
TNA IV	Technology Needs Assessment Phase IV
TNA V	Technology Needs Assessment Phase V
ToC	Theory of Change
ToR	Terms of Reference
TR	Terminal Review
UCT	University of Cape Town
UDP	UNEP DTU Partnership (now UNEP-CCC)
UN	United Nations
UNEP	United Nations Environment Programme
UNEP-CCC	UNEP Copenhagen Climate Centre (formerly UDP)
UNFCCC Sec.	UNFCCC Secretariat
UNOPS	United Nations Office for Project Services
USD	United States Dollars
USP	University of the South Pacific
UWI	University of the West Indies
VoIP	Voice over Internet Protocol

PROJECT IDENTIFICATION TABLE

Table 1. Project Summary

UNEP Sub-programme:	Climate change	UNEP Division/Branch:	Industry and Economy Division/GEF Climate Change Mitigation Unit
Expected Accomplishment(s):	Accomplishment 1B: Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies	Programme of Work Output(s):	Number of national, sub-national and private-sector actors that adopt climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support
SDG(s) and indicator(s)	Goal 7: Ensure access to affordable, reliable, sustainable and modern energy for all. 7.A By 2030, enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, energy efficiency and advanced and cleaner fossil-fuel technology, and pro-mote investment in energy infrastructure and clean energy technology 7.A.1 International financial flows to developing countries in support of clean energy research and development and renewable energy production, including in hybrid systems		
Dates of previous project phases:	TNA I: Nov 2009 – Nov 2013 TNA II: Nov 2014 – Sep 2018	Status of future project phases:	TNA IV: Ongoing, Oct 2020 – Dec 2024 TNA V: Under development
Project Title:	Technology Needs Assessment Phase III (TNA III)		
Executing Agency:	UNEP-CCC		
Project partners:	- Regional Centres: ENDA, UCT, UWI, AIT, USP - Governments of 22 Non-Annex I Parties		
Geographical Scope:	Non-Annex I Parties in Africa, Asia and the Pacific, the Caribbean, Eastern Europe		
Participating Countries:	Benin, Central African Republic, Chad, Djibouti, Guinea, Niger, Liberia, Malawi, Uganda, Sao Tomé and Príncipe, Afghanistan, Myanmar, Nauru, Fiji, Vanuatu, Ukraine, Antigua and Barbuda, Dominica, Haiti, Jamaica, Suriname, Trinidad & Tobago		
GEF project ID:	GEF ID 9452	IMIS number:	9452
Focal Area(s):	Climate Change Mitigation	GEF OP #:	CC1 (GEF-6)
GEF Strategic Priority/Objective:	CC1: Promote innovation, technology transfer, and supportive policies and strategies	GEF approval date:	27 March 2018
UNEP approval date:	9 May 2018	Date of first disbursement*:	10 July 2018
Actual start date:	15 May 2018	Planned duration:	3 years
Intended completion date:	31 March 2021	Actual or Expected completion date:	31 March 2023
Project Type:	FSP	GEF Allocation:	USD 6,210,000
PPG GEF cost:	N/A	PPG co-financing:	N/A
Expected MSP/FSP Co-financing:	USD 2,745,000 (in-kind)	Total Cost:	USD 8,955,000
Mid-term Review/Evaluation (planned date):	January 2020	Terminal Review (planned date):	September 2023
Mid-term Review/Evaluation (actual date):	February 2020 (internal review)	No. of revisions:	3
Date of last Steering Committee meeting:	13 July 2023	Date of last Revision:	11 January 2022
Disbursement as of 30 June 2024:	USD 6,150,001	Date of planned financial closure:	31 March 2024
Date of planned completion:	31 March 2023	Actual expenditures reported as of 30 June 2023:	USD 4,933,675
Total co-financing realized as of 31 December 2023:	USD 2,640,399 (in-kind)	Actual expenditures entered in UMOJA as of 31 December 2023:	USD 5,709,781

Leveraged financing:	Insufficient data available		
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EXECUTIVE SUMMARY

Project background

1. The “Technology Needs Assessment Phase III” (TNA III) project was implemented in May 2018 – March 2023 and funded under the GEF climate change mitigation focal areas. UNEP’s Industry and Economy Division was the GEF implementing partner, whereas UNEP Climate Change Centre (UNEP-CCC), formerly the UNEP Technical University of Denmark Partnership (UDP), was the GEF executing partner at the global level. Together with UNEP-CCC, five regional centres provided support to the 22 participating countries (initially 23 countries, but Eritrea opted out before activities started; Eritrea is now participating in TNA V).
2. With financial support from the GEF, UNEP has since 2009 supported UNFCCC Non-Annex I Parties in carrying out national Technology Needs Assessments (TNAs) to identify their technology needs to effectively mitigate greenhouse gas (GHG) emissions and/or reduce the vulnerability of sectors and livelihoods to the adverse impacts of climate change.
3. TNA III supported the 22 participating countries in further identifying the national technology barriers limiting climate action in their prioritised sectors, and in developing action plans for overcoming these. The project aimed to: (i) strengthen national capacities for identifying and prioritising technology actions, (ii) advocate for the integration of technology priorities into national planning processes, and (iii) promote national dialogue between policy makers and donors/investors to lay the foundation for further policy enhancement of, and investment in, environmentally sound technology actions.
4. The project’s **objective** was to “Provide participating countries targeted financial and technical support to prepare new or updated and improved TNAs, including Technology Action Plans (TAPs), for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives”. The total budget was USD 8.95 million, comprising a USD 6.21 million grant from the GEF and in-kind co-financing of USD 2,640,399 from UNEP, UNEP-CCC/UDP, United Nations Climate Technology Centre & Network (CTCN), and participating countries. A fourth phase (TNA IV) is currently under implementation and a fifth phase (TNA V) is under development.

This Review

5. This terminal review (TR) covers the UNEP-GEF project “Technology Needs Assessment Phase III” (henceforth referred to “TNA III” and “the project”). It is the sixth review made of TNA; terminal evaluations of TNA I and TNA II were carried out in 2016 and 2020, internal mid-term reviews were carried of TNA II in 2017, TNA III in 2020, and TNA IV in 2023. The objective of the TR was to

assess the project's performance and the results and the sustainability these. The TR had two purposes: a) to provide evidence of results to meet accountability requirements, and b) to promote operational improvement, learning and knowledge sharing. The TR commenced in September 2023 and was completed in March 2024. It was carried out as a desk review, based on a review of project documentation and remote interviews and an online survey with key stakeholders.

Key findings

6. Strategic relevance: The project was fully aligned with UNEP's Medium-term strategy, UNEP's Programme of Work, and the Bali Strategic Plan for Technology Support and Capacity-building. Moreover, it was fully aligned with the GEF's climate change mitigation and adaptation objectives. The methodology developed under TNA I-II was built on and further refined in TNA III, and is currently used in TNA IV. CTCN applies a similar methodology in its TNA support for Non-Annex I Parties. At the country level, TNA III responded to national climate change, development, sector priorities and policies, and countries benefitted from synergy between TNA III and other processes, with most countries linking their TNAs to their NDCs.
7. Effectiveness: Twenty-two countries produced technology needs assessments (TNAs) and barrier analyses and enabling frameworks (BAEFs), 20 countries (as support to Afghanistan and Myanmar was discontinued from 2021) prepared technology action plans (TAPs). 17 countries elaborated concept notes for funding proposals, and 18 countries prepared policy briefs. Countries were satisfied with the guidelines and support they received from UNEP-CCC and regional centres. It is too early to assess the project's influence on planning and policy at the country level, but moderate influence is reported by several national stakeholders. Furthermore, it is premature to assess the contribution towards the mobilisation of funding for technology diffusion, as most concept notes had not yet been submitted to donors at the time of the TR. Nonetheless, two TNA III countries have mobilised GCF readiness funding with a direct link to their TNAs, and one country has mobilised Adaptation Fund as well as domestic funding for TNA priority technologies. Moreover, some countries, which participated in previous TNA phases, have successfully mobilised funding for the implementation of priorities identified in their TAPs. However, given the general financial constraints facing LDCs and SIDS, TAP implementation hinges on donor funding, but available climate financing globally is far below the needs.
8. Financial management: Financial procedures were adhered to. Budget revisions were timely and duly approved. The institutional transition from UDP to UNEP-CCC created some challenges. Disbursements to countries and consultants were not always timely, due to a) issues with the recipient banks and account information, COVID-19, and the UDP-UNEP CCC transition.
9. Efficiency: Major delays were experienced due to factors outside the control of the project, such as COVID-19, transition from UDP to UNEP-CCC, and

domestic factors in the countries. Hence, the project was extended by two years. The planned activities were fully delivered at global and regional levels and in most countries, and most countries achieved all five outputs. Spending was in line with the original budget. The project was embedded in government structures. Several countries chose to cover more than two sectors, which stretched the limited resources available. TNA delivery took considerable time and resources, often leaving less time, energy, and resources for TAPs, concept notes, and policy briefs.

10. Monitoring and reporting: The results framework had measurable and appropriate output-level indicators, but the indicators did not fully capture outcomes. The monitoring data collected went beyond indicators and included some data on outcomes. Progress reporting was comprehensively capturing activities, outputs, gender, risk management, and lessons, but higher level outcomes were not fully covered.
11. Sustainability: UNEP, UNEP-CCC, and regional centres have the capacity and commitment to continue supporting countries in TNA/TAP processes and will continue to do so under the upcoming TNA V. However, neither UNEP nor UNEP-CCC have any projects to support vis-à-vis TAP implementation. National stakeholders have the capacity and are generally committed, but senior level government ownership appears uneven and institutional sustainability hinges on access to external funding. TNA and TAP is recognised in the UNFCCC context and can contribute to NDC preparation as well as towards technology selection and implementation of NDC priorities. The Green Climate Fund (GCF) and the GEF encourage countries to use TNAs and TAPs in proposal development. Financial sustainability is the biggest challenge for implementation of TAPs and concept notes, future updating of TNAs and TAPs, and replication of TNA /TAP in other sectors.
12. Factors affecting performance: Project oversight, management, and support functioned well. The project benefitted from a well-established implementation structure at global and regional levels, and low staff-turnover, with experienced and well-qualified global and regional teams. In most countries, project management was embedded in national structures and was overall satisfactory, albeit with variations
13. Key global multilateral stakeholders were engaged in the Project Steering Committee and participated in some global and regional workshops/events. However, bilateral actors were not systematically involved in the project. A country-driven approach was applied. There was a good engagement of government stakeholders, and a moderate to good engagement of other stakeholders, although private sector engagement was not always sufficient. Budget constraints limited the engagement of local level stakeholders. There was a moderate to good stakeholder ownership, overall, although high-level government ownership varied considerably among countries.
14. Gender aspects addressed with gender-focused activities, mainstreaming across activities, and encouraging countries to address gender issues and

ensure female participation. Most countries addressed gender in their TNAs, and half of them used gender criteria in the technology prioritisation. Human rights aspects were only covered to a limited extent. There were no direct environmental or social risks associated with TNA III implementation. Environmental and social benefit criteria were generally included for technology prioritisation in TNAs, but potential risks of negative effects and safeguards associated with the technologies covered were generally not addressed in TNAs and TAPs.

Conclusions

15. **Strengths:** Being part of a longer-term initiative, the project benefitted significantly from a high degree of continuity, capitalising on well-established implementation structures, methodologies that the project further refined, and experienced and skilled global and regional teams. National stakeholders widely appreciated the methodologies, capacity development, and support provided under TNA III. Project management structures, processes, and communication worked well. Global level continuity is ensured with TNA IV and V.
16. The project was usually well-embedded in national structures and processes. TNA and TAP have proved their value vis-à-vis a) providing useful information for NDCs and b) contributing to linking NDC priorities to financial support for implementation. While there was variation among the countries, project management at the country level overall worked satisfactorily. National stakeholders obtained the technical capacity to develop and update TNAs, BAEFs, and TAPs, or expand the methodology to other sectors. There was an overall good level of stakeholder participation and ownership, particularly among government stakeholders.
17. The delivery of the intended outputs was high, and most countries delivered all outputs, despite disruptions and significant delays caused by external factors. While it is too early to fully assess the project's outcomes, a moderate influence on climate change, development, and sector planning was reported. Moreover, TNAs and TAPs enjoy international recognition, e.g. with buy-in from the GCF, the GEF, and the TEC.
18. Gender aspects were well addressed at the global level and in several countries, and environmental and social benefit criteria were used in technology prioritisation
19. **Weaknesses:** The project was significantly delayed due to external factors outside the control of the project.
20. Budget constraints limited the ability to engage all relevant stakeholders, especially local level actors, but also the private sector. In a few countries, senior-level government ownership was insufficient. So far, few countries have made significant steps towards facilitating technology transfer and diffusion. Several countries chose to cover more than two sectors, stretching the limited resources available. TNA delivery took considerable time and

resources, often leaving less than ideal amounts of time, energy, and resources for TAPs, concept notes, and policy briefs.

21. Given the general financial constraints facing LDCs and SIDS and challenges with mobilising the private sector, TAP implementation, and thus also continued motivation of stakeholders, hinge entirely on accessing donor funding. However, available climate financing is far below the needs. Most concept notes targeted the GCF with little attention given to other donors, but stakeholders report that GCF procedures are complex and requirements are challenging to meet. The concept notes could not cover all the priorities and opportunities identified in the TNAs and actions in the TAPs. National stakeholders widely call for financial support or help to access financing for TAP implementation. Neither UNEP nor UNEP-CCC have any projects supporting countries to move from TAPs and concept notes to securing financing and engaging in implementation.
22. Human rights aspects were only covered to a limited extent. Risks of negative environmental and social effects of the different technologies and potential needs for safeguards were generally not addressed in TNAs and TAPs.
23. **Performance rating:** Overall, the project is rated as 'Satisfactory'. A table presenting all performance ratings can be found in Section VI.A.

Lessons Learned

24. Lesson 1: Continuity and a long-term perspective enable better support and thus better results.
25. Lesson 2: Integrating project implementation and outputs in existing processes and structures enhances results and buy-in and thus adds value
26. Lesson 3: Country-driven processes and emphasis on stakeholder participation does not always ensure full government buy-in

Recommendations

27. Recommendation 1: Encourage and facilitate engagement with a broader range of donors and funding sources for concept note and TAP implementation.
28. Recommendation 2: Strengthen the TNA and TAP methodology vis-à-vis human rights, social and environmental risks, and safeguards.
29. Recommendation 3: In TNA V, engage more comprehensively in the focal sectors and focus on strengthening country capacities to develop TAPs and concept notes and to mobilise financing for their implementation.
30. Recommendation 4: Develop a partnership-based initiative for follow-on support for facilitating funding of TAP implementation.

Validation

The report has been subject to an independent validation exercise performed by UNEP's Evaluation Office. The performance ratings for the project, set out in the Conclusions and

Recommendations section, have been adjusted as a result. The overall project performance is validated at the '**Satisfactory**' level. Moreover, the Evaluation Office has found the overall quality of the report to be '**Highly Satisfactory**' (see Annex IX).

Historique du projet

1. Financé par le Fonds pour l'Environnement Mondial (FEM) dans le cadre de ses interventions pour l'atténuation du changement climatique, le projet "Evaluation des besoins en technologies Phase III" (EBT III), a été mis en œuvre de mai 2018 à mars 2023. Les parties prenantes engagées dans le projet étaient composées de : la Division du Changement Climatique du PNUE pour sa mise en œuvre, le Centre du Changement Climatique du PNUE basé à Copenhague (PNUE -CCC) pour son exécution. Cinq centres régionaux ont aussi été associés, en apportant leur soutien aux 22 pays participants au projet (initialement 23 pays, mais l'Érythrée s'est retirée avant le début des activités. L'Érythrée participe maintenant à l'EBT V).
2. Avec le soutien financier du FEM, le PNUE aide depuis 2009 les Parties non visées à l'annexe I de la CCNUCC à réaliser des évaluations des besoins en technologies au niveau national. Le but est d'identifier leurs besoins pour atténuer efficacement les émissions de gaz à effet de serre (GES) et/ou réduire la vulnérabilité des pays aux risques et effets néfastes du changement climatique.
3. A cet effet, l'EBT III a accompagné 22 pays dans l'identification des barrières technologiques nationales qui limitent l'action climatique dans des secteurs prioritaires, et dans l'élaboration de plans d'action pour la diffusion de ces technologies. Le projet visait plus particulièrement à (i) renforcer les capacités nationales d'identification et de hiérarchisation des actions technologiques, (ii) plaider pour l'intégration des priorités technologiques dans les processus de planification nationale, et (iii) promouvoir le dialogue national entre les décideurs politiques et les partenaires financiers/investisseurs pour renforcer les politiques et l'investissement dans des actions technologiques respectueuses de l'environnement.
4. L'objectif du projet était de "*fournir aux pays participants un soutien financier et technique ciblé pour conduire ou actualiser des évaluations des besoins technologiques, y compris des plans d'action technologiques (PAT), pour des technologies prioritaires qui réduisent les émissions de gaz à effet de serre, soutiennent l'adaptation au changement climatique et sont compatibles avec les contributions déterminées au niveau national et les objectifs nationaux de développement durable*". Le budget total s'élevait à 8,95 millions de dollars, comprenant un don du FEM de 6,21 millions de dollars et des contributions non monétaires du PNUE, du PNUE-CCC/PDU, du Centre et du Réseau des technologies climatiques des Nations Unies (CTCN) et des pays participants pour un total de 2 640 399 dollars. Une quatrième phase (TNA IV) est actuellement en cours de mise en œuvre et une cinquième phase (TNA V) est en cours de développement.

La revue finale

5. La Revue Terminale (RT) porte sur le projet PNUE-FEM " Évaluation des besoins en technologies phase III " (ci-après dénommé " EBT III " et " le projet "). Il s'agit de la sixième revue de l'EBT ; les évaluations finales de l'EBT I et l'EBT II ont été réalisées en 2016 et 2020, les revues internes à mi-parcours ont été réalisées pour l'EBT II en 2017, l'EBT III en 2020, et l'EBT IV en 2023. La RT visait à évaluer la performance et les résultats du projet ainsi que sa durabilité. Ses deux objectifs étaient : a) fournir des preuves des résultats pour répondre aux exigences de responsabilité dans l'utilisation de fonds publics, et b) promouvoir l'amélioration opérationnelle, l'apprentissage et le partage des connaissances. La RT a débuté en septembre 2023 et s'est achevée en mars 2024. Elle a été réalisée à partir de l'examen de la documentation du projet, des entretiens à distance et une enquête en ligne avec les principales parties prenantes.

Résultats principaux

6. Pertinence : Le projet était parfaitement aligné avec la stratégie à moyen terme du PNUE, à son programme de travail et au plan stratégique de Bali pour l'appui technologique et le renforcement des capacités. En outre, il était parfaitement conforme aux objectifs d'atténuation et d'adaptation au changement climatique du FEM. La méthodologie développée dans le cadre de l'évaluation des besoins en technologies (EBT I-II) a été affinée dans le cadre de l'EBT III et est actuellement utilisée dans le cadre de l'EBT IV. Le CTCN applique une méthodologie similaire dans le cadre de son soutien à l'évaluation des besoins technologiques pour les parties non visées à l'annexe I. Au niveau national, l'EBT III a répondu aux priorités et politiques nationales et sectorielles en matière de changement climatique et de développement. Les pays ont bénéficié d'une synergie entre l'EBT III et d'autres processus, la plupart d'entre eux établissant un lien entre leur évaluation des besoins en technologies et leur CDN.
7. Efficacité : Vingt-deux pays ont réalisé des évaluations des besoins en technologies (EBT) et des Analyses des Barrières et Cadre Propice (ABCP), 20 pays (l'aide à l'Afghanistan et au Myanmar ayant été interrompue à partir de 2021) ont préparé des Plans d'Actions Technologiques (PAT). 17 pays ont élaboré des notes conceptuelles pour des propositions de financement et 18 pays ont préparé des notes d'orientation. Les pays ont été satisfaits des lignes directrices et du soutien qu'ils ont reçu du PNUE-CCC et des centres régionaux. Il est trop tôt pour évaluer l'influence du projet sur la planification et la politique au niveau national, mais plusieurs parties prenantes nationales font état d'une influence modérée. En outre, il est prématuré d'évaluer la contribution à la mobilisation de fonds pour la diffusion des technologies, car la plupart des notes conceptuelles n'avaient pas encore été soumises aux partenaires techniques et financiers au moment de la RT. Néanmoins, deux pays ayant participé à l'EBT III ont mobilisé des fonds du GCF en lien direct avec leur évaluation des besoins en technologies, et un pays a mobilisé le Fonds d'adaptation ainsi que des fonds nationaux pour les technologies

identifiées comme prioritaires par l'EBT III. De plus, certains pays qui ont participé aux phases précédentes de l'EBT ont réussi à mobiliser des fonds pour la mise en œuvre des priorités identifiées dans leurs programmes d'action. Toutefois, compte tenu des contraintes financières générales auxquelles sont confrontés les PMA et les PEID, la mise en œuvre du PAT va reposer sur l'engagement de ceux-ci, mais le financement climatique disponible au niveau mondial est bien inférieur aux besoins.

8. Gestion financière : Les procédures financières ont été respectées. Les révisions budgétaires ont été effectuées en temps voulu et dûment approuvées. La transition institutionnelle entre le partenariat du PNUE avec l'Université Technologique Danoise (PNUE-DTU) et le PNUE-CCC a posé quelques problèmes. Les décaissements en faveur des pays et des consultants n'ont pas toujours été effectués en temps voulu, en raison de problèmes liés aux banques bénéficiaires et aux informations sur les comptes, à la pandémie COVID-19 et à la transition entre le PNUE-DTU et le PNUE-CCC.
9. Efficiences : Des retards importants ont été enregistrés en raison de facteurs hors du contrôle du projet, tels que la pandémie COVID-19, la transition du PNUE-DTU au PNUE-CCC et des facteurs internes aux pays. Le projet a donc été prolongé de deux ans. Les activités prévues ont été entièrement réalisées et la plupart des pays ont atteint les cinq résultats prévus. Les dépenses ont été conformes au budget initial. Le projet a été intégré dans les structures gouvernementales tel que prévu. Plusieurs pays ont opté pour la couverture de plus de deux secteurs par volet (i.e. atténuation et adaptation), malgré les ressources limitées à leur disposition. La réalisation de l'évaluation des besoins en technologies a pris beaucoup de temps et de ressources, laissant souvent moins de temps, d'énergie et de ressources pour les plans d'action, les notes conceptuelles et les notes d'orientation.
10. Suivi et rapports : Le cadre de résultats du projet comportait des indicateurs au niveau des produits du projet appropriés et mesurables, mais certains indicateurs au niveau des réalisations du projet ne rendaient pas pleinement compte des résultats. Cependant, les données de suivi collectées allaient au-delà des indicateurs et incluaient certaines données sur les réalisations. Les rapports sur l'état d'avancement des travaux présentaient de manière exhaustive les activités, les produits, le genre, la gestion des risques et les enseignements, mais les résultats en termes de réalisations n'étaient pas entièrement pris en compte.
11. Durabilité : Le PNUE, le PNUE-CCC et les centres régionaux ont la capacité et la volonté de continuer à soutenir les pays dans les processus EBT/PAT et continueront à le faire dans le cadre de la prochaine phase EBT V. Toutefois, ni le PNUE ni le PNUE-CCC n'ont à l'heure actuelle de projets visant à soutenir la mise en œuvre du PAT. Les parties prenantes nationales ont la capacité et sont généralement engagées, mais l'appropriation par les hauts fonctionnaires semble inégale et la durabilité institutionnelle risque de

reposer sur l'accès à des financements externes. L'évaluation des besoins en technologies et le programme d'assistance technique sont reconnus dans le contexte de la CCNUCC et peuvent contribuer à la préparation de la CDN ainsi qu'à la sélection des technologies et à la mise en œuvre des priorités de la CDN. Le Fonds vert pour le climat (FVC) et le FEM encouragent les pays à utiliser les évaluations des besoins en technologies et les programmes d'assistance technique dans l'élaboration de leurs propositions. La disponibilité de ressources financières est le plus grand défi pour la mise en œuvre des PAT et des notes conceptuelles, leur mise à jour et leur réplique.

12. Facteurs affectant la performance : La supervision, la gestion et le soutien du projet ont bien fonctionné. Le projet a bénéficié d'une structure de mise en œuvre bien établie aux niveaux global et régional, d'un faible taux de rotation du personnel et d'équipes internationales et régionales expérimentées et qualifiées. Dans la plupart des pays, la gestion du projet a été intégrée dans les structures nationales et a été globalement satisfaisante, bien qu'avec des variations.
13. Les principaux acteurs multilatéraux ont été engagés dans le comité de pilotage du projet et ont participé à certains ateliers/événements internationaux et régionaux. Toutefois, les acteurs bilatéraux n'ont pas toujours été systématiquement impliqués dans le projet. Une approche axée sur le pays a été appliquée. L'engagement des parties prenantes gouvernementales a été bon et celui des autres parties prenantes a été modéré à bon, bien que l'engagement du secteur privé n'ait pas toujours été suffisant. Les contraintes budgétaires ont limité l'engagement des parties prenantes au niveau local. Dans l'ensemble, l'appropriation par les parties prenantes a été de moyenne à bonne, bien que celle au niveau des instances gouvernementales supérieures ait varié considérablement d'un pays à l'autre.
14. Les aspects liés au genre ont été abordés à travers des activités axées sur le genre, une intégration transversale de ces questions dans les activités, et en encourageant les pays à les traiter et à assurer la participation des femmes. La plupart des pays ont abordé la question de l'égalité des sexes dans leur évaluation des besoins technologiques et la moitié d'entre eux ont utilisé des critères d'égalité des sexes dans la hiérarchisation des technologies. Les aspects liés aux droits de l'homme n'ont été couverts que de manière limitée. Aucun risque environnemental ou social direct n'a été associé à la mise en œuvre de l'EBT III. Les critères relatifs aux avantages environnementaux et sociaux ont généralement été inclus pour la hiérarchisation des technologies, mais les risques potentiels et les mesures de sauvegarde associées aux technologies couvertes n'ont généralement pas été abordés dans les EBT et les PAT.

Conclusions

15. **Forces** : Faisant partie d'une initiative de long terme, le projet a bénéficié d'un degré élevé de continuité, capitalisant sur des structures de mise en œuvre

bien établies, des méthodologies que le projet a affinées, et des équipes internationales et régionales expérimentées et qualifiées. Les parties prenantes nationales ont largement apprécié les méthodologies, le développement des capacités et le soutien fourni dans le cadre de l'EBT III. Les structures de gestion du projet, les processus et la communication ont bien fonctionné. La continuité au niveau de l'initiative est assurée avec les projets EBT IV et V.

16. Le projet a généralement été bien intégré dans les structures et processus nationaux. L'EBT et le PAT ont prouvé leur valeur en ce qui concerne a) la fourniture d'informations utiles pour les CDN et b) la contribution à la liaison entre les priorités des CDN et le soutien financier à la mise en œuvre. Bien qu'il y ait eu des variations entre les pays, la gestion du projet au niveau national a globalement fonctionné de manière satisfaisante. Les parties prenantes nationales ont développé la capacité technique de développer et de mettre à jour les EBT, les ABCP, les plans d'action sectoriels, ou d'étendre la méthodologie à d'autres secteurs. Le niveau de participation et d'appropriation des parties prenantes, en particulier des parties prenantes gouvernementales, a été globalement bon.
17. Généralement les produits ont été délivrés comme prévu, la plupart des pays ont délivré tous les produits, et malgré les perturbations et les retards importants causés par des facteurs externes. Bien qu'il soit trop tôt pour évaluer pleinement les réalisations du projet, les parties prenantes ont rapporté une influence modérée à ce stade sur le changement climatique, le développement et la planification sectorielle. Cependant, les EBT et les PAT jouissent d'une reconnaissance internationale, notamment grâce à l'appui du FVC, du FEM et du CET-CCNUCC.
18. Les questions d'égalité des sexes ont été bien prises en compte au niveau international et dans plusieurs pays. Les critères relatifs aux avantages environnementaux et sociaux ont été utilisés dans la hiérarchisation des technologies.
19. **Faiblesses** : Le projet a été considérablement retardé en raison de facteurs externes hors du contrôle du projet.
20. Les contraintes budgétaires ont limité la capacité à impliquer toutes les parties prenantes, en particulier les acteurs locaux, mais aussi le secteur privé. Dans quelques pays, l'appropriation par les hauts fonctionnaires était insuffisante. Jusqu'à présent, peu de pays ont pris des mesures significatives pour faciliter le transfert et la diffusion des technologies. Plusieurs pays ont opté pour la couverture de plus de deux secteurs, malgré les ressources limitées à leur disposition. La réalisation de l'EBT a pris beaucoup de temps et de ressources, laissant souvent moins de temps, d'énergie et de ressources pour les PAT, les notes conceptuelles et les notes d'orientation.
21. Compte tenu des contraintes financières générales auxquelles sont confrontés les PMA et les PEID et des difficultés à mobiliser le secteur privé, la mise en œuvre du PAT, et donc la motivation continue des parties

prenantes, dépendent entièrement de l'accès au financement des partenaires techniques et financiers. Cependant, le financement disponible pour le climat est bien inférieur aux besoins. La plupart des notes conceptuelles ont ciblé le Fonds Vert pour le Climat (FVC), en accordant peu d'attention aux autres partenaires techniques et financiers, alors même que les parties prenantes signalent que les procédures du FVC sont complexes et qu'il leur est difficile de répondre aux exigences. Les notes conceptuelles n'ont pas pu couvrir toutes les priorités et opportunités identifiées dans l'EBT et le PAT. Les parties prenantes nationales appellent largement à un soutien financier ou à une aide pour accéder au financement de la mise en œuvre de leur PAT. Toutefois, ni le PNUE ni le PNUE-CCC n'ont à l'heure actuelle de projets visant à soutenir la mise en œuvre du PAT.

22. Les aspects relatifs aux droits de l'homme n'ont été couverts que de manière limitée. Les risques d'impact environnemental et social des différentes technologies et les besoins potentiels de sauvegardes n'ont généralement pas été abordés dans les EBT et les PAT.

Notation de la performance : Dans l'ensemble, le projet est jugé "satisfaisant". Un tableau présentant toutes les notes de performance figure à la section VI.A.

Enseignements tirés

23. Leçon 1 : La continuité et une perspective à long terme permettent un meilleur soutien et donc de meilleurs résultats.
24. Leçon 2 : L'intégration de la mise en œuvre et des produits du projet dans les processus et structures existants améliore les résultats et l'adhésion et apporte donc une valeur ajoutée.
25. Leçon 3 : Les processus pilotés par les pays et l'accent mis sur la participation des parties prenantes ne garantissent pas toujours une adhésion complète des gouvernements.

Recommandations

26. Recommandation 1 : Encourager et faciliter l'engagement avec un panel plus large de partenaires techniques et financiers pour la mise en œuvre de la note conceptuelle et du PAT.
27. Recommandation 2 : Renforcer la méthodologie EBT et PAT en ce qui concerne les droits de l'homme, les risques sociaux et environnementaux et les sauvegardes.
28. Recommandation 3 : Dans le cadre de l'EBT V, il est recommandé de renforcer l'engagement dans les secteurs prioritaires, et de mettre l'accent sur le renforcement des capacités des pays pour le développement des PAT, des notes conceptuelles, et la mobilisation des financements pour leur mise en œuvre.

29. Recommandation 4 : Développer une initiative basée sur le partenariat pour un soutien de suivi afin de faciliter le financement de la mise en œuvre des PAT.

I. INTRODUCTION

30. This terminal review (TR) assesses the performance and results of the UNEP-GEF project “Technology Needs Assessment Phase III” (henceforth referred to “TNA III” and “the project”). UNEP’s Industry and Economy Division was the GEF implementing partner, whereas UNEP Climate Change Centre (UNEP-CCC), formerly the UNEP Technical University of Denmark Partnership (UDP), was the GEF executing partner at the global level. The governments of the participating countries executed the project at the country level. TNA III was funded by the GEF with an allocation of USD 6,210,000. In-kind co-financing was provided by UNEP (USD 75,000), UNEP-CCC (USD 225,000), CTCN (USD 1,839,000), and the participating countries (USD 501,000).
31. TNA III fell under the 2018-2021 Medium Term Strategy, aiming to contribute to the following expected accomplishment under Sub-programme 1 – climate change: 1B: “*countries increasingly adopt and/or implement low emission development plans and invest in clean technology*”. The project contributed to 2018-2019 Programme of Work’s Climate Change Objective: “*Countries increasingly transition to low-emission economic development and enhance their adaptation and resilience to climate change*”, accomplishment 1B “*countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies*”.
32. **Purpose and scope of the terminal review:** This TR is the sixth review made of TNA; external/independent terminal evaluations of TNA I in 2016 and TNA II in 2020 were commissioned by the UNEP Evaluation Office, respectively, and internal mid-term reviews (MTRs) were carried out by UNEP and UNEP-CCC of TNA II in 2017, TNA III in 2020, and TNA IV in 2023. The TR was 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 objective of the TR was to assess the performance and results (outcomes and impacts) of the project, and the sustainability of the results. Practicable recommendations are provided vis-à-vis the planned next phases of the project. The TR had two purposes: a) to provide evidence of results to meet accountability requirements, and b) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and its partners.
33. **TR Target audience:** The TR will in particular inform staff from UNEP, UNEP-CCC, the UNFCCC Secretariat, governments of countries participating in TNA III-V, and the GEF Secretariat. It will inform the implementation of the ongoing TNA IV, the design of TNA V, as well as other global/multi-country capacity assessment projects. Moreover, the TR will be made available to the general public, including donors to the GEF.

II. REVIEW METHODS

34. The TR adheres to UNEP/GEF evaluation guidelines. The TR was carried out as a desk review, which was initiated on 21 September 2023. The inception report was completed on 21 November 2023 and data were collected and documents reviewed in November 2023 – January 2024. The below combination of qualitative methods was used to gather and triangulate information and thereby ensure their solidity and reduce information gaps.
35. **Document review:** Available project documentation was reviewed (see annex III). The assessment of results (outcomes) utilised the project’s own indicators, targets, and monitoring data as much as possible/appropriate. See Annex III for a full list of the documents reviewed.
36. **Stakeholder consultation:** Remote interviews and discussions were held with key stakeholders identified by UNEP. At the global and regional level, key staff/representatives at UNEP, UNEP-CCC, regional centres, the UN Climate Technology Centre & Network (CTCN), the UNFCCC Technology Executive Committee (TEC), the UNFCCC Secretariat, the GEF Secretariat, and the GCF Secretariat were interviewed. Moreover, interviews were held with national TNA Coordinators from a sample of seven countries (Benin, Chad, Fiji, Liberia, Suriname, Trinidad and Tobago, Uganda), and national consultants or other stakeholders from some of the sample countries (Benin, Liberia, Uganda). These interviews were semi-structured and guided by the evaluative questions and indicators in the review matrix (see Annex V). A total of 38 persons (13 women, 25 men) were interviewed, including 17 national TNA Coordinators and consultants. See table 38 for a detailed overview of the stakeholder consultations, and Annex II for a list of interviewees. The country sample was selected based on the following criteria: The sample was selected with a particular focus on: a) aiming at covering the main geographical regions of the project (Asia and the Pacific, Africa and Ukraine, the Caribbean, Francophone countries), b) covering a mix of countries with assessed good, medium, and challenged performance; c) selecting countries where the scope for post-project continuation, impact, and sustainability was not derailed by sanctions or armed conflict (“force majeure”); and d) selecting countries where national coordinators with institutional memory of the project were available/accessible.
37. Moreover, the national TNA Coordinators and consultants from the 22 countries participating in the projects were invited to complete an online survey. A total of 36 responses were received (filling the survey fully or partly), of these 32 responses (10 women, 22 men) from 19 countries (86 pct. of the countries) were used for the analysis (filtering out highly incomplete responses and duplicate responses). The responses used came from the coordinators from 13 countries (59 pct.), 15 consultants from 10 countries (45 pct.), and two other types of stakeholders from two countries responded to the survey.

Table 2: Sample of respondents

		# people involved (M/F)	# people contacted (M/F)	# respondent (M/F)	% respondent
Project team	Implementing agency: UNEP	12 (4M/8F)	7 (1M/6F)	6 (1M/5F)	67% (14%M/86%F)
	Executing agency: (UNEP-CCC)	12 (8M/4F)	3 (2M/1F)	3(2M/1F)	43% (67%M/33%F)
	# entities involved	# entities contacted	# people contacted	# respondent	% respondent
Project implementing/ executing partners	5 regional centres	5 regional centres	7 (4M/3F)	Interviews: 5 (4M/1F) Email: 1 (F)	86% (71%M/29%F)
	22 national governments (TNA Coordinators), national consultants	22TNA Coordinators, consultants/others (14 countries)	Interviews: 32 (27M/12F) (9 countries)	Interviews: 17 (12M/5F) (7 countries)	Interviews: 53% (71%M/29%F)
			Survey: 66 (44M/22F), 22 TNA Coordinators, consultants/others (14 countries)	Survey: 32 (22M,10F) 13 TNA Coordinators, 15 consultants + 2 other, (10 countries)	Survey: 48%
Project collaborating/ contributing partners	5 (UNFCCC Sec, GEF Sec, GCF Sec, CTCN Sec, TEC)	5 entities	7 (6M/1F)	6 (5M/1F)	86%
Beneficiaries:	Sector working group participants in 22 countries	Unknown	1(1M)	1(1M)	100%

38. Analysis and reporting: The analysis of findings was an iterative process throughout the TR. Information and data from different written and oral sources were compared and triangulated. Initial findings and recommendations were discussed with stakeholders as the TR progressed, to ensure their validity and appropriateness, as well as stakeholder participation and ownership. Key stakeholders in UNEP and UNEP-CCC were provided with the opportunity to comment on the draft review report. Due to the policy and capacity development nature of the project, most information and data at the country level was qualitative. Information from the survey was used for quantitative analysis, as was overall portfolio information.

39. The terms of reference (ToR) provided a comprehensive set of strategic questions and review criteria for the TE. These were further crystallised with indicators and data sources (see Annex V).

40. Performance ratings were assessed and calculated using the standard UNEP rating method, criteria, and calculation tool.

41. Ethics and human rights: Throughout the TR process and in the compilation of the TR report, effort was made to represent the views of all stakeholders.

Data were collected with respect to ethics and human rights issues. All information was gathered after prior informed consent from people, all discussions and survey responses were kept anonymous, and all information was collected according to the UN Standards of Conduct.

42. **Limitations:** Stakeholder consultations were mainly in the form of distance consultation, only stakeholders based in Copenhagen were met in person. It was not feasible to interview representatives from all countries participating in TNA III, but only a sample of those. Several national stakeholders did not respond to requests for interviews. Considering the very diverse contexts and specificities of each country, the general picture obtained by the review consultants may not be fully applicable for all the participating countries. The online survey was a tool to mitigate this limitation and enabled broader participation. While it was not possible to get responses from all countries and all national TNA Coordinators, the sample is sufficiently large to be considered representative. Some survey responses were incomplete or had gaps. The number of consultant/other stakeholder responses from each country varied, giving a varying level of representation/weight in the figures related to the responses from consultants. In countries with more than one respondent, their responses to a given question could vary among the respondents indicating different perspectives and views, different experiences with the project, and varying degrees of knowledge of different aspects of the project. Narrative responses that could not be anonymised could not be used due to ethical concerns (see above section on ethics) and the EU General Data Protection Regulation.
43. The review consultant could not visit the supported Non-Annex I Parties and was thus not able to make a detailed assessment/verification/triangulation of the results achieved at the national level and the perspectives of a broader selection of national stakeholders, nor was the review consultant able to make an in-depth assessment of contextual factors promoting or inhibiting the achievement of the intended results at the country level.
44. The various questions and categories in the GEF tracking tool for mitigation and adaptation are of limited applicability to TNA III, given the TNAs, BAEFs and TAPs are enabling activities, and the project did not engage in the implementation of tangible mitigation or adaptation actions.
45. Auditing of the finances of the project was done as part of the overall UNEP and UNEP-CCC auditing, as per the rules and regulations for each institution. Internally executed projects are not audited. No separate statements were made on the project as part of the overall UNEP and UNEP-CCC audits, although the independent auditors commissioned by the Technical University of Denmark (DTU) for auditing UDP's accounts issued annual comfort letters for the project in 2019-2021. UNEP-CCC will also issue a comfort letter, but this was not available at the time of the TR. Similarly, the financial records of the regional centres and countries were not audited. This limits the ability of

the TR to assess financial management and compliance with GEF procedures.

III. THE PROJECT

A. Context

46. Non-Annex I Parties to the United Nations Framework Convention on Climate Change (UNFCCC) face technological constraints vis-à-vis implementing their climate change mitigation and adaptation obligations under the Convention. Although access to technology has been identified as a key factor of success vis-à-vis reaching climate change mitigation and adaptation targets, the information contained in (Intended) Nationally Determined Contributions (INDCs/NDCs) and National Communications (NCs) has generally been insufficient for planning and implementing technology projects that enable the countries to reach their targets. Since 2001, developing country Parties to the UNFCCC have been assessing their technology needs in the areas of climate change mitigation and adaptation within the framework of their national development plans and strategies.
47. With financial support from the GEF, UNEP has since 2009 (TNA I) supported a range of Non-Annex I Parties in carrying out national Technology Needs Assessments (TNAs) to identify their needs for new equipment, techniques, practical knowledge and skills to effectively mitigate greenhouse gas (GHG) emissions and/or reduce the vulnerability of sectors and livelihoods to the adverse impacts of climate change.
48. TNA III aimed to respond to the high demand for TNA support expressed by countries to UNEP, UDP (now UNEP-CCC), the TNA Regional Centres, the UNFCCC Secretariat, and CTCN in 2013-2015. The 22 countries that participated in TNA III (initially 23 countries, but Eritrea opted out before activities started; Eritrea is now participating in TNA V) explicitly indicated in their INDCs or National Communications and/or in their communication with UNEP the need for external support to identify and implement the technology actions necessary to achieve their national development goals and NDC targets.
49. The project supported the participating countries in further identifying the national technology barriers limiting climate action in their prioritised sectors, and in developing action plans for overcoming these. The project therefore aimed to: (i) strengthen national capacities for identifying and prioritising technology actions, (ii) advocate for the integration of technology priorities into national planning processes, with a focus on technologies for implementing NDCs, and (iii) promote national dialogue between policy makers and donors/investors to lay the foundation for further policy enhancement of, and investment in, environmentally sound technology actions.
50. TNA III was endorsed by the GEF Chief Executive Officer (CEO) on 27 March 2018 and implementation started on 15 May 2018 (project cooperation agreement signature date). The programme was scheduled for completion on 31 March 2021, but extended by two years, to 31 March 2023.

51. Project implementation was affected by the COVID-19 pandemic, which contributed to delays and affected the ability to conduct in-person meetings and training, and workshops. UNEP made an executive decision to transfer support for UDP from the Danish Technical University to UNOPS, and subsequently established the UNEP Copenhagen Climate Centre (UNEP-CCC). This involved terminating contracts of personnel and projects under UDP and moving them to UNEP-CCC, thus established new executing arrangements with UNEP-CCC in 2022. These changes affected the project's execution timeline and contributed to delays.
52. A fairly high proportion of the participating countries were affected by political conditions, conflict, and/or insecurity that were not favourable for implementation:
- **Ukraine:** the project was discontinued due to the aggression¹ by the Russian Federation against Ukraine.²
 - **Afghanistan:** the project was discontinued due to the volatility in Afghanistan since the takeover of the Taliban.³
 - **Myanmar:** the project was discontinued due to the declaration of the state of emergency by the Myanmar armed forces on 1 February 2021.⁴
 - The Central African Republic, Chad and Niger have been affected by insurgency, internal conflict and/or civil war for two decades, but the project was completed.
 - Haiti has been severely affected by crime and related insecurity. But the project was completed.

B. Objectives and components

53. The project's **objective** was to *"Provide participating countries targeted financial and technical support to prepare new or updated and improved TNAs, including Technology Action Plans (TAPs), for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives"*.

¹ Aggression defined as "the use of armed force by a State against the sovereignty, territorial integrity or political independence of another State, or in any other manner inconsistent with the Charter" (UNGA res 3314 (XXIX) of 14 December 1974).

² A/RES/ES-11/1 Resolution adopted by the General Assembly on 2 March 2022. Aggression against Ukraine, paragraph 2.

³ A/RES/77/10 Resolution adopted by the General Assembly on 10 November 2022, The situation in Afghanistan, paragraph 1.

⁴ A/RES/75/287 Resolution adopted by the General Assembly on 18 June 2021. The situation in Myanmar, preambular paragraph 3.

54. TNA III comprised a single **component**: *Technology Needs Assessments (TNA) and Development of Technology Action Plans (TAP)*.
55. The project had one intended **outcome**: *TNA processes conducted by national stakeholders, and TNA/TAP results are available to be integrated into national planning processes and to be funded and implemented by interested stakeholders*.
56. The project was expected to deliver two **outputs**, which were pursued through the five **sub-outputs** (the sub-outputs were referred to as outputs in the results framework, but to avoid confusion with the above two overall outputs, the TR henceforth refers to these as sub-outputs). The outputs and sub-outputs are presented in table 3.

Table 3: TNA III sub-outputs

Output	Sub-output
Output 1: Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process	1.1: Methodologies, guidance and tools for technology needs assessments and action plans covering both adaptation and mitigation aspects are updated/developed
	1.2: Strengthened national capacities for conducting the TNA/TAP process
	1.3: Information, lessons learnt, and results generated through TNA/TAP processes are disseminated and communicated
Output 2: TNA and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation	2.1: TNA reports are developed/updated and approved
	2.2: Barrier Analysis & Enabling Framework (BAEF) reports are developed and approved
	2.3: TAP reports (including project ideas) are developed and approved
	2.4: Project concepts are developed and approved
	2.5: TNA results are communicated and disseminated

Sources: CEO Endorsement Request, PIR 2023

C. Stakeholders

57. Table 4 presents the main stakeholders and their interest in, and influence on, TNA III implementation.

Table 4: Stakeholder Analysis

Stakeholder	Power over project results/implementation and level of interest	Participation in project design, and how	Role in project	Expected change in behaviour	Power and interest rating*
UNEP	Responsible for project implementation, control over financial resources. Member of PSC and Executive Steering Committee.	Yes – led the design process.	Project oversight, reporting to the GEF. Control over financial resources. Provision of in-kind co-financing.	Integration of best practices and experiences from TNA III in TNA IV, TNA V, and other projects.	A

Stakeholder	Power over project results/implementation and level of interest	Participation in project design, and how	Role in project	Expected change in behaviour	Power and interest rating*
UNEP-CCC (formerly UDP)	Responsible for project execution, control over financial resources. Member of PSC and Executive Steering Committee.	Yes – provided inputs to the design.	Global project management, technical advisory, capacity building, activity planning and execution. Provision of in-kind co-financing.	Integration of best practices and experiences from TNA III in TNA IV, TNA V, and other projects.	A
Regional Centres	Responsible for technical assistance to countries. Represented in PSC.	Yes – were consulted.	Technical advisory, technical assistance, capacity building.	Integration of best practices and experiences from TNA III in support to countries under TNA IV and TNA V	B
GEF Secretariat	Control over disbursements to the project. Approval of spending. PSC member.	Yes – reviewed and approved design.	Participation in TNA events at global level, incl. COP and SB side events and TNA Global experience sharing workshop.	Approval of the integration of TNA III lesson in TNA V. Funding the implementation of elements of TAPs and CNs.	A
UNFCCC Secretariat	Responsible for supporting the implementation of COP decisions. PSC members.	Yes – were consulted.	Participation in TNA events at global and regional level.	Facilitating follow-up on TNA III results and lessons in UNFCCC processes	C
TEC		Yes – were consulted.			C
CTCN	PSC member.	Yes – were consulted.	Support for countries TNA-related activities by countries upon request. Provision of in-kind co-financing.	Support TNA III countries in further translating TNAs, TAPs and CNs into action/implementation.	C
GCF	PSC member.	Yes – were consulted	Limited engagement.	Funding the implementation of elements of TAPs and CNs.	C
Non-Annex I Parties: TNA III entry points and TNA Coordinators	Execute TNA III at national level. Represented in PSC. UNFCCC and CTCN Focal Points. Participate in NSCs and sectoral working groups.	Yes – were consulted At national level: led the design of the TNA/TAP process in their own countries.	Coordination, planning, and implementation of TNA III activities at national level. Participate in capacity development provided by UNEP-CCC and Regional Centres. Provision of in-kind co-financing.	Enhanced capacity to coordinate TNA processes. Ensure TNA III deliverables at the country level are achieved.	A

Stakeholder	Power over project results/implementation and level of interest	Participation in project design, and how	Role in project	Expected change in behaviour	Power and interest rating*
Non-Annex I Parties: Policy-making government entities	Lead on national-level activities. Members of NSCs and sectoral working groups.	Yes (at national level) – were consulted.	Participate in global/regional capacity development activities. Provision of in-kind co-financing.	Establish policy and institutional frameworks for the implementation of the action points in TAPs in their respective sectors. Mobilisation of climate financing	A or B (depending on entity)
Private sector	Represented in NSCs and sectoral working groups.	Yes (at national level) – were consulted.	Participate in national-level activities. Participate in global/regional capacity development activities. Implement action points identified in TNAs.	Engagement in, and financing for, the implementation of action points identified in TAPs.	C or D (depending on entity)
Technical experts/consultants	Contracted under TNA III. Members of sectoral working groups.	Yes (at national level) – were consulted.	Participate in national-level activities. Provide technical support for national stakeholders.	Technical support for the implementation of action points identified in TAPs.	C
Development partners	Members of sectoral working groups.	No.	Participate in national-level activities.	Engagement in, and financing for, the implementation of action points identified in TAPs.	A, B, C, or D (depending on entity)

*Power and interest rating:

A: High power / high interest = Key player

B: High power/ low interest over the project = Meet their needs

C: Low power/ high interest over the project = Show consideration

D: Low power /low interest over the project = Least important

58. The following countries participated in TNA III:

- Africa: Benin, Central African Republic, Chad, Djibouti, Guinea, Niger, Liberia, Malawi, Uganda, Sao Tomé and Príncipe, (Eritrea was mentioned in CEO Endorsement Request but left the project)
- Asia and the Pacific: Afghanistan, Myanmar, Nauru, Fiji, Vanuatu
- Europe: Ukraine
- Latin America and the Caribbean: Antigua and Barbuda, Dominica, Haiti, Jamaica, Suriname, Trinidad and Tobago

59. None of the participating countries participated in TNA I or TNA II, nor do they participate in TNA IV or TNA V.

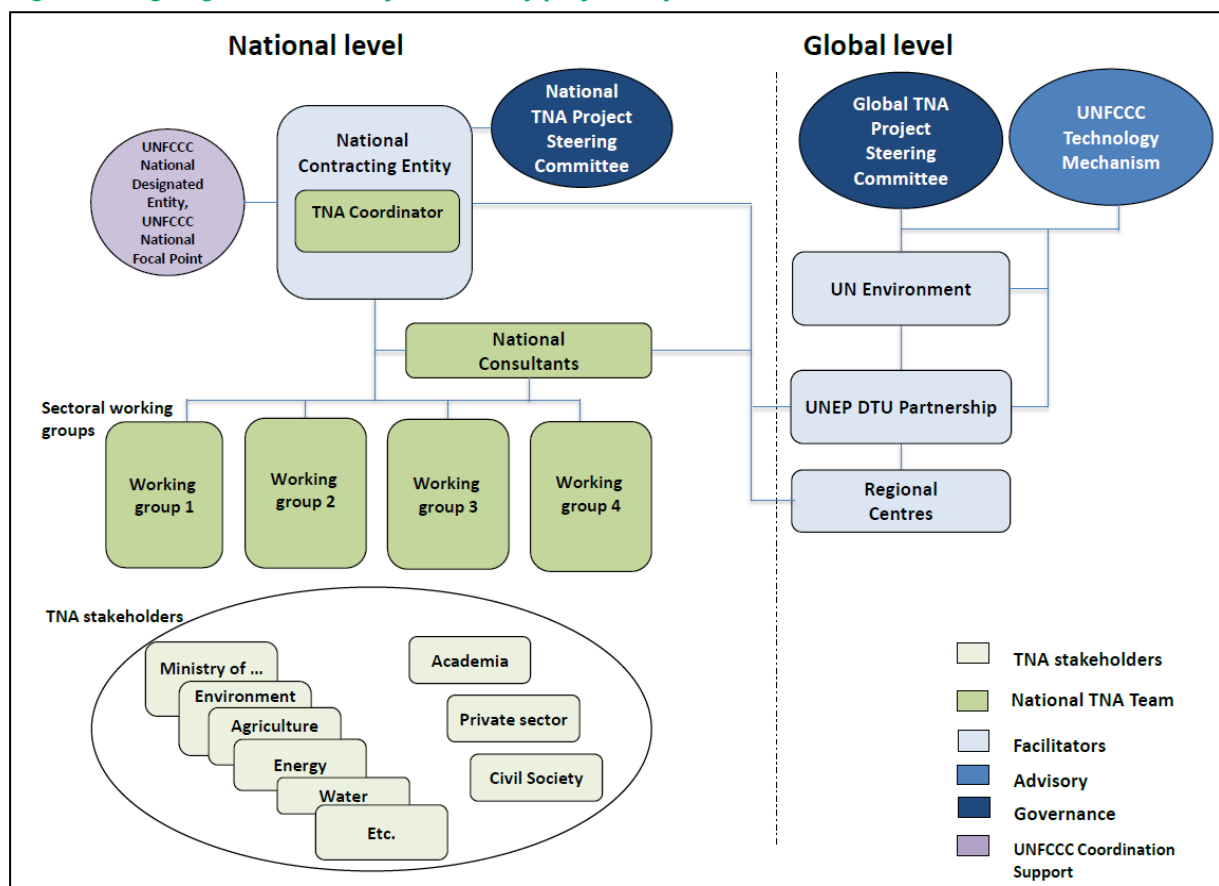
60. Eritrea was originally intended to participate in the TNA III but left the project (Eritrea currently participates in TNA V). TNA III support for Afghanistan and Myanmar was discontinued in 2021 as outlined in paragraph 52.

D. Project implementation structure and partners

61. Figure 1 below depicts the management setup for TNA III. UNEP was the GEF Implementing Agency (strategic oversight), and for global aspects of the project also Executing Agency (day-to-day execution of the project). The implementing and executing roles were separated with an internal “firewall”. The implementing entity was the GEF Climate Change Mitigation Unit of the Industry and Economy Division, and the executing entity at the global level was initially UDP and later UNEP-CCC. At the national level, TNA III activities were executed by the participating countries’ designated government focal institutions for climate change and UNFCCC.
62. Project Steering Committee (PSC) and Executive Steering Committee: The PSC comprised representatives from the UNFCCC Secretariat, the TEC, the GEF Secretariat, the GCF Secretariat, UNEP, UNEP-CCC/UDP, CTCN, a TNA Regional Centre representative, and two representatives from Non-Annex I Parties participating in TNA III or other ongoing TNA project phases.
63. An internal Executive Steering Committee with senior staff from the two agencies oversaw implementation and met in 2019, 2020, and 2022.
64. National Steering Committees (NSCs): Each participating country had an NSC for the TNA II, overseeing national implementation of the project. The NSCs in general comprised members responsible for policymaking from relevant ministries and key private sector stakeholders.
65. Day-to-day programme coordination and implementation: Capacity development, technical advisory, and support for the participating countries were provided by UNEP-CCC. Three staff members were designated as Regional Coordinators, with the Regional Coordinator for Africa also being Global Project Manager.
66. Five partner institutions were designated as TNA Regional Centres (RCs), which also provided capacity development and technical advisory to the countries in their respective regions:
- Environment and Development Action in the Third World (ENDA) (Senegal)
 - University of Cape Town (UCT) (South Africa)
 - University of the West Indies (UWI) (Jamaica)
 - Asian Institute of Technology (AIT) (Thailand)
 - University of the South Pacific (USP) (Fiji)
67. In each participating country, the designated UNFCCC Focal Point Office was national entry point for TNA III. Countries were encouraged to nominate their National Designated Entities (NDEs) for the UNFCCC Technology Mechanism

as TNA Coordinators, which 17 of the 22 countries adhered to. Moreover, sectoral working groups were established for executing activities at sectorial level, comprising government and private sector representatives, such as government entities responsible policy formulation and regulation, private and public sector industries, electric utilities and regulators, technology suppliers, finance, technology end users (e.g. households, small business, farmers, technology experts (e.g. academics, consultants), and development partners (international organisations, donors).

Figure 1: Organigram of the Project with key project key stakeholders



E. Changes in design during implementation

68. Three revisions were made to the project. On 20 November 2020, the project completion date was extended by six months (from 31 March to 30 September 2021) and on 2 August 2021, it was further extended by an additional year (to 30 September 2022), in both cases due to the COVID-19 pandemic. On 11 January 2022, the unspent funds on UDP's budget were transferred from DTU to UNEP-CCC. For all three revisions, annual allocations in the budget were adjusted to reflect actual spending as well as the completion date extensions.

69. No major changes were made to the programme design. The internal MTR did not recommend any changes to the results framework but recommended

to put emphasis on disseminating results and encourage countries to act on TAP implementation, including the elaboration of targeted policy briefs for decision-makers and development partners, thereby emphasising the importance of sub-output 2.5: *TNA results are communicated and disseminated*. The MTR also recommended to make the TEC the PSC of the project. In practice, the TEC was represented in the PSC, but the TEC did not serve as PSC.

F. Project financing

70. TNA III was supported by the GEF-6 Trust Fund with an allocation of USD 6,210,000. Of this amount, USD 5,940,000 came from the GEF Global and Regional Set Aside, whereas the remaining USD 270,000 came from Ukraine's STAR (System for Transparent Allocation of Resources) allocation. Table 5 provides an overview of the estimated and actual cost and spending. Overall the budget was fully executed. By project completion, 92 pct. of the budget allocation for activities (component 1) had been spent. The budget allocation for personnel was fully spent. Spending at the country level was a bit below budget, since Eritrea, Myanmar, and Afghanistan left the project before completion. Similarly, spending at regional centres was a bit below budget, whereas spending on training and evaluation was significantly below the budget, as there due to COVID-19 was less than expected travelling and in-person meetings. Project management costs were a bit above the original allocation, seemingly due to increased staff time spent as a result of the project extension, but still within the permitted limit for UNEP-GEF projects.

Table 5: Expenditure by component/outcome (as of 15 January 2024)

Component/sub-component/output	Estimated cost at design (USD)	Actual Cost/ expenditure (USD)	Expenditure ratio (actual/planned)
Component 1: personnel	1,362,216	1,361,263	100%
Component 1: sub-contracts – countries	3,036,000	2,797,551	92%
Component 1: sub-contracts – regional centres	582,590	533,626	92%
Component 1: training	645,680	436,293	68%
Component 1: total	5,626,486	5,128,773	91%
Evaluation (spent + committed)	60,000	40,000 (spent: 12,000) (committed: 28,000)	67%
Project management cost (PMC)	523,514	568,927	109%
Total	6,210,000	5,737,660.15	92%

71. The estimated and the reported co-financing realised is presented in table 6. The anticipated co-financing in the CEO Endorsement Request (at design) was USD 2,745,000 in kind from UNEP, UDP/UNEP-CCC, CTCN, and participating Non-Annex I Parties. At USD 2,640,399 (UNEP: USD 75,000, UNEP-CCC 225,000, CTCN: 1,839,000, participating countries: USD 501,000), the reported co-financing realised was slightly below the expected amount,

due to somewhat less than expected co-financing from CTCN and the participating countries (one reason being that Eritrea left TNA III). It should be noted that co-financing is not a GEF requirement for enabling activities.

72. In addition to the above anticipated and quantified co-financing, the UNFCCC Secretariat contributed by covering the expenses of one Secretariat staff member, who participated in two regional TNA capacity building workshops and two global workshops and supported the preparation of guidance documents and other publications.

73. The TNA website was financed through UNEP-CCC's core support from Denmark, but this contribution is not reflected in the report co-financing.

Table 6: Co-financing table

Co-financing (Type/Source)	UNEP + UDP/UNEP-CCC own Financing (USD 1,000)		Government (USD 1,000)		Other (CTCN) (USD 1,000)		Total (USD 1,000)		Total Disbursed (USD 1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants	-	-	-	-	-	-	-	-	-
Loans	-	-	-	-	-	-	-	-	-
Credits	-	-	-	-	-	-	-	-	-
Equity investments	-	-	-	-	-	-	-	-	-
In-kind support	300	300	575	501	1,870	1,839	2,745	2,640	2,640
- Other - cash expenses	-	-	-	-	-	-	-	-	-
Totals	300	300	575	501	1,870	1,839	2,745	2,640	2,640

IV. THEORY OF CHANGE AT REVIEW

74. A theory of change (ToC) and a results framework were provided in the CEO Endorsement Request. The two were in overall aligned, albeit with some differences. The expected results of the project were clearly articulated, but the ToC and results framework contained a number of inconsistencies in the causal linkages and several overlaps (duplication/repetition) between different elements. There were also inconsistencies in relation to the impact driver, assumptions, and risks. In the results framework, indicators and targets were only defined for the project outcome, but not for the outputs and sub-outputs, whereas the ToC contained targets for some of the sub-outputs/activities under output 1.

75. Due to the inconsistencies and duplications, the TR elaborated a “reconstructed ToC” to ensure that there is a consistent and clear conceptual understanding of the project impact pathways that can guide the TR; this diagram is presented in figure 2. Table 7 provides an overview of the changes made and justifications for these.

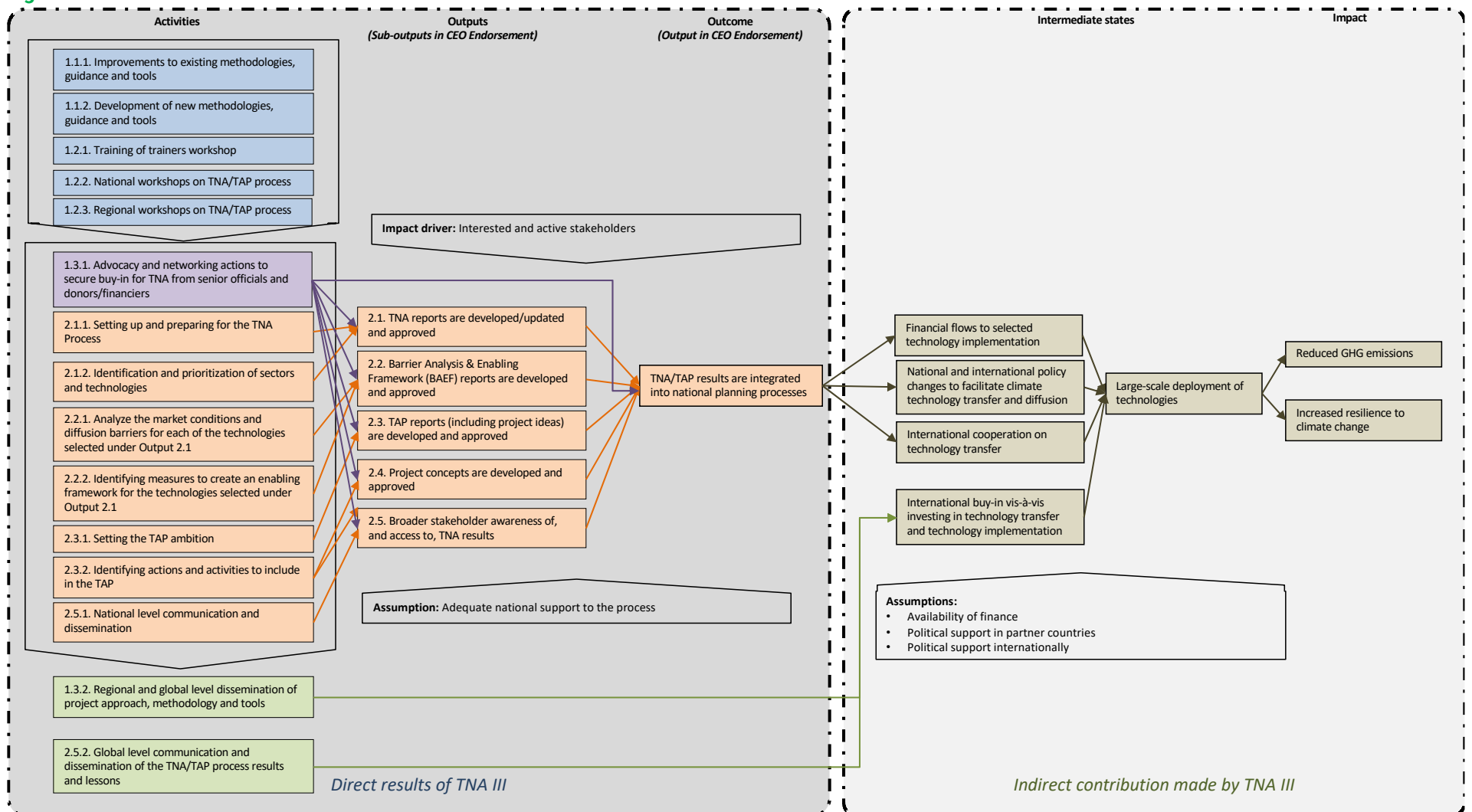
Table 7: Justification for Reformulation of Results Statements

CEO Endorsement + PIRs	Reconstructed ToC at Review	Justification for Reformulation
Impact		
Large-scale deployment of technologies reducing GHG emissions and/or increasing resilience to climate change	Reduced GHG emissions	Two levels were merged: 1) largescale deployment of tech (intermediate state), and 2) reduced emissions + increased resilience (impact). Deployment of tech is not an impact. Reduced emissions and increased resilience are separate impacts.
	Increased resilience to climate change	
Intermediate states		
Activities financed and implemented through: <ul style="list-style-type: none"> - Financial flows to selected technology implementation - National and international policy changes to facilitate climate technology transfer and diffusion - International cooperation on technology transfer - Implementation of NDC goals 	High level: Large-scale deployment of technologies.	Different/distinct elements were merged in the original phrasing and have thus been split into separate intermediate states: 1) activities financed + implemented, 2) financial flows (overlaps with 1), 3) policy changes that facilitate tech transfer (lower level than 1-2 and 4-5), 4) int'l tech transfer coop, 5) NDC goal implementation (higher level than 1-4, and too unspecific).
	Financial flows to selected technology implementation	
	National and international policy changes to facilitate climate technology transfer and diffusion	
	International cooperation on technology transfer	
	International buy-in vis-à-vis investing in technology transfer and technology implementation	Added to capture the contribution of the global/regional dissemination and communication outputs.
Outcome		

CEO Endorsement + PIRs	Reconstructed ToC at Review	Justification for Reformulation
TNA processes conducted by national stakeholders, and TNA/TAP results are available to be integrated into national planning processes and to be funded and implemented by interested stakeholders	TNA/TAP results are integrated into national planning processes.	Various elements/levels were merged. Conduct of TNA process is an activity, and thus not an appropriate outcome. TAN/TAP results availability in essence an output and a duplication of output 2. Integration into planning, funding and implementation are outcomes, but funding and implementation duplicate the intermediate state.
Outputs		
1. Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process	<i>Removed</i>	Two elements merged in one: 1) development of tools/methodologies, and 2) application of these – both elements are in essence activities that feed output 2. In essence a duplication of sub-outputs 1.1 and 1.2.
2. TNA and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation	<i>Removed</i>	Appropriate output, but TNAs and TAPs two distinct outputs, with TNA laying foundation for TAP, and in essence duplicating the outcome as well as sub-outputs 2.1, 2.3 and 2.4. National consensus could be viewed as a separate element from the reports, but overlaps with the outcome (integration in national planning processes)
Sub-outputs		
1.1. Methodologies, guidance and tools for technology needs assessments and action plans covering both adaptation and mitigation aspects are updated/developed	<i>Removed</i>	At activity level and duplication of activities under this (sub)output. Feeds into the delivery of output 2 and its sub-outputs.
1.2. Strengthened national capacities for conducting the TNA/TAP process	<i>Removed</i>	Enhanced capacities are unnecessary as separate output – as captured by the TNA and TAP outputs themselves. Workshops are activities rather than (sub)outputs.
1.3. Information, lessons learnt, and results generated through TNA/TAP processes are disseminated and communicated	<i>Removed</i>	Dissemination is an activity rather than a (sub)output. The output is stakeholder awareness.
2.1. TNA reports are developed/updated and approved (<i>elevated to output level</i>)		Appropriate (sub)output, but duplicates output 2.
2.2. Barrier Analysis & Enabling Framework (BAEF) reports are developed and approved (<i>elevated to output level</i>)		Appropriate (sub)output.
2.3. TAP reports (including project ideas) are developed and approved (<i>elevated to output level</i>)		Appropriate (sub)output.
2.4. Project concepts are developed and approved (<i>elevated to output level</i>)		Appropriate (sub)output.
2.5. TNA results are communicated and disseminated	2.5. Broader stakeholder awareness of, and access to, TNA results (<i>elevated to output level</i>)	Dissemination is an activity rather than a (sub)output. The output is stakeholder awareness.
Activities		

CEO Endorsement + PIRs	Reconstructed ToC at Review	Justification for Reformulation
<p>Activities are unchanged, but the sequence/clustering has been modified to better reflect the logical flow, and clustered into: 1) methodology development and capacity building on its use, 2) national TNA/TAP processes, and 3) regional and global dissemination and communication.</p>		

Figure 2: Reconstructed ToC



V. REVIEW FINDINGS

A. Strategic Relevance

A.1. Alignment to UNEP's, Donors' and Countries' (global, regional, sub-regional and national) strategic priorities.

76. TNA III directly responded to UNEP's Medium-Term Strategy (MTS) for 2018-2021, and Programme of Work for 2018-2019, with a focus on Sub-programme 1: climate change (see section I).
77. The project also supported the Bali Strategic Plan for Technology Support and Capacity Building, by contributing to the identification of technology needs and priorities and establishing action plans and concept notes for the roll-out of priority technologies and providing capacity development for countries to undertake this.
78. TNA III fell under the climate change mitigation focal area of GEF-6. The TR found that the project responded directly to the Objective CC1: promote innovation, technology transfer, and supportive policies and strategies. The project responded to Programme 1: *promote the timely development, demonstration, and financing of low-carbon technologies and mitigation options*. TNA III contributed to laying the foundation for countries to achieve of Outcome A: *accelerated adoption of innovative technologies and management practices for GHG emission reduction and carbon sequestration*, and Indicator 4: *deployment of low GHG technologies and practices*.
79. However, the CEO Endorsement Request indicated that TNA III was intended to contribute to GEF-6 Objective CC3: *foster enabling conditions to mainstream mitigation concerns into sustainable development strategies*. It was indicated that the project would respond to Programme 5: *integrate findings of Convention obligations enabling activities into planning processes and mitigation contributions* and Outcome B: *Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation*. Programme 5 was associated with GEF-6 Indicator 7: *number of countries meeting convention reporting requirements and including mitigation contributions*. However, TNA III did not respond significantly to this indicator as UNFCCC reporting was not the focus of the project.
80. Thirteen of the participating countries were LDCs (the African and the Asian countries, Haiti) and ten were SIDS (the Caribbean and Pacific countries, Sao Tomé and Príncipe). Two countries were both LDCs and SIDS (Haiti, Sao Tome and Principe,). The only country being neither an LDC nor a SIDS was Ukraine.
81. TNA III was demand-driven, countries themselves requested to participate, and the focal sectors were chosen by the national stakeholders, although it was recommended that they addressed both mitigation and adaptation in their overall choice of sectors. National stakeholders consistently found that TNA III was well aligned not only with their countries' climate change priorities and policy frameworks, but also to development and sector priorities (see figure 3).

82. A range of mitigation- and adaptation-related sectors were covered under TNA III (see figure 4), but three sectors were particularly prominent and covered in most of the participating countries: agriculture (mainly with an adaptation focus), water (adaptation), and energy (mitigation).

Figure 3: Alignment of TNA III with country policies and priorities

Survey question 1: How well was TNA III aligned with national policies, plans, strategies, priorities?

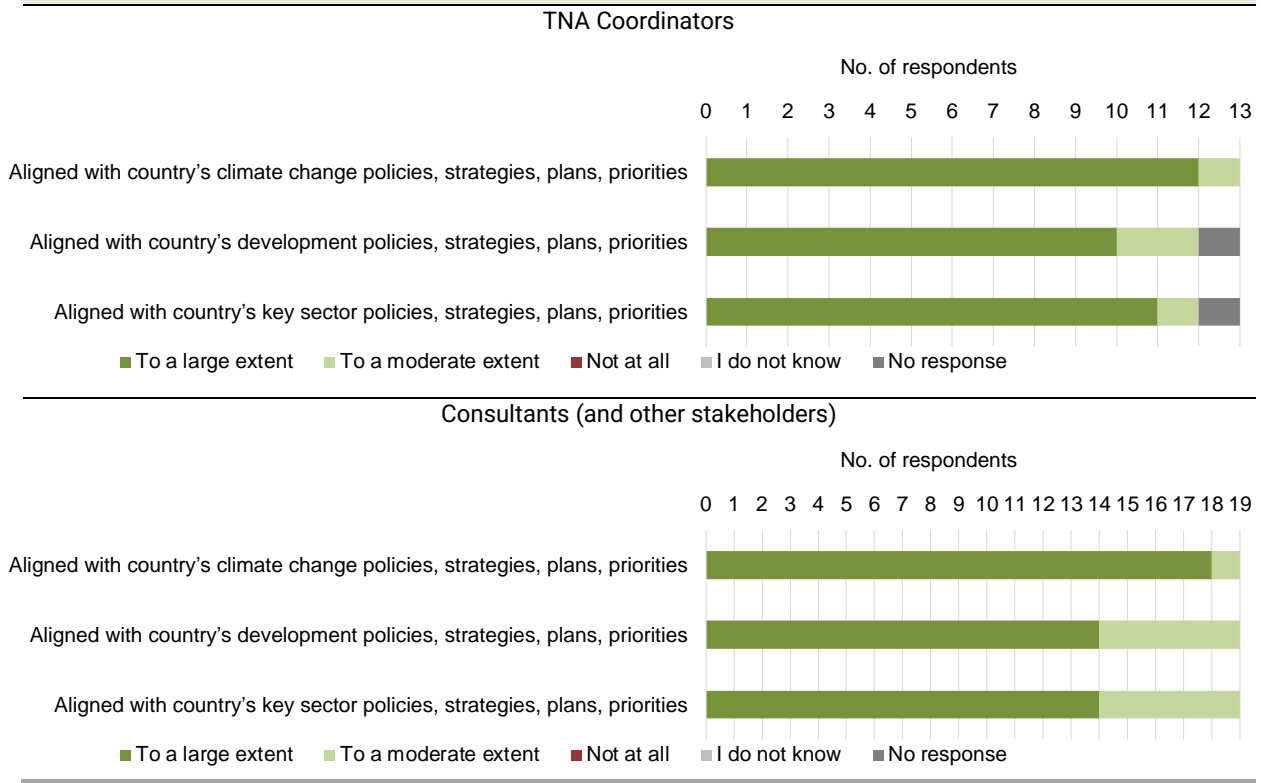
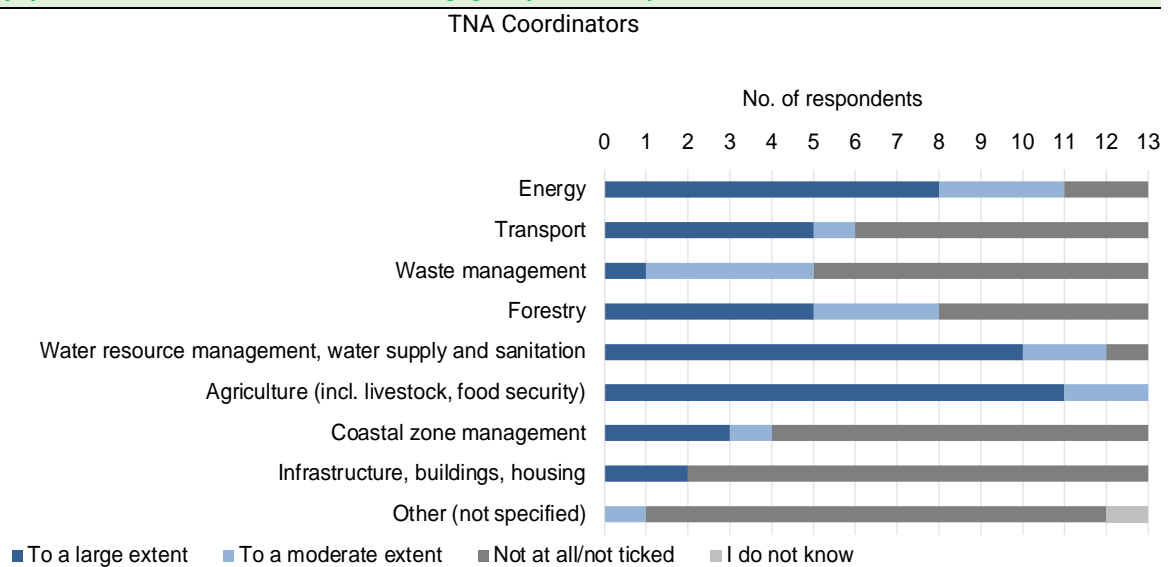


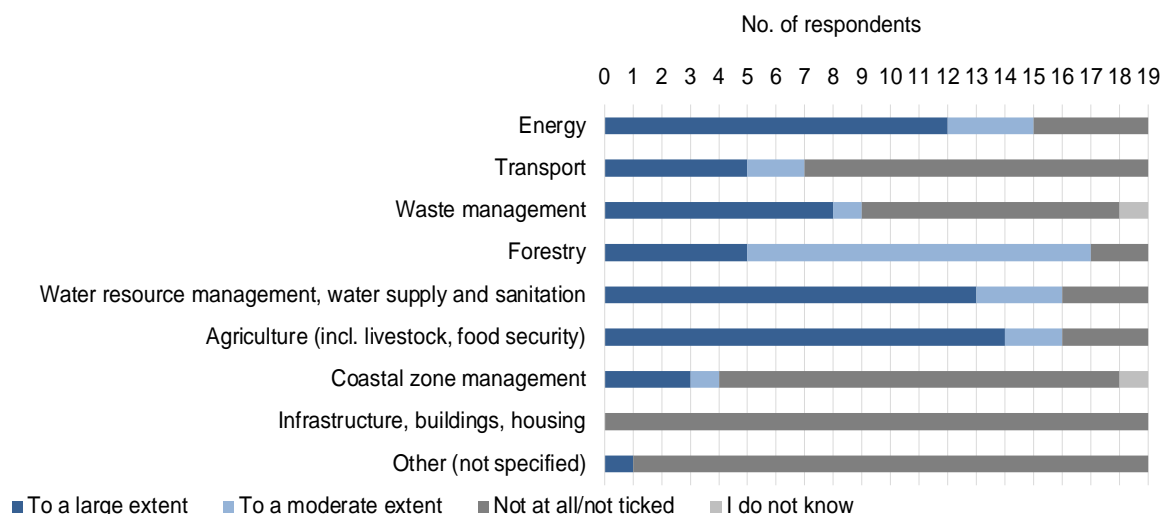
Figure 4: Sectors covered by TNA III

Survey question 2: Which sectors did TNA III engage in your country?



Survey question 2: Which sectors did TNA III engage in your country?

Consultants (and other stakeholders)



Rating for Alignment to Strategic Priorities: Highly Satisfactory

A.2. Complementarity with Existing Interventions/Coherence

83. Under TNA III, UNEP-CCC used and further refined and expanded (e.g. with a gender guideline) the approach and TNA toolbox developed under TNA I and TNA II. Furthermore, the methodology, toolbox, and lessons from TNA III are carried forward in the ongoing TNA IV and TNA V, which is under development.

84. CTCN also supports countries in TNA processes, based on requests from countries and using GCF readiness funds. While there were no joint TNA III-CTCN activities, CTCN applies a largely similar approach with the same main steps/deliverables as TNA III, and uses the toolbox developed under the TNA I-III projects, or elements hereof. Moreover, CTCN has provided technical assistance (upon request from countries) to some of the countries participating TNA III (see figure 5). In particular, CTCN provided support directly linked to the TNAs (source: TNA success stories database, December 2022). For example, CTCN has provided support for follow-up on outcomes from the TNA process in relation to irrigation as well as the development of a GCF readiness proposal related to hydropower. Moreover, one interlocutor reported that CTCN had supported the development of a focused concept note for agriculture and water based on a more generic TNA III concept note and has promised to support the development of a full project document. Some national stakeholders report that TNA at least to some extent contributed to strengthening their link to CTCN (see figure 6). CTCN members have participated in some regional and global workshops and events conducted under TNA III. The regional centres are also CTCN members and have in some cases been used by CTCN for the delivery of technical assistance to countries.

85. The TEC generally did not engage directly in TNA III activities at the country level, but some national stakeholders nonetheless reported that TNA at least to some extent contributed to strengthening their link to the TEC (see figure 6). Moreover, the TEC Secretariat has compiled TNA status reports, which have been used to inform and guide the TEC’s work programme, e.g. in relation to identifying priorities.
86. Countries benefitted from synergy between their participation in TNA III and other processes, with most countries reportedly having linked their TNAs to their NDCs. For example, in Liberia the TNA and TAP reports informed the revision/updating of the NDC (submitted to UNFCCC in 2021). In Suriname, the TNA results were integrated in the updated NDC. In Trinidad and Tobago, the NDC provided baseline information and prioritisation, which allowed for a faster and more focused process vis-à-vis the TNA and BAEF steps, thereby allowing for more emphasis on the TAPs and concept notes.
87. Moreover, meetings were held on the margins of UNFCCC COPs and Subsidiary Body (SB) meetings to facilitate dialogue at the global level as well as with participating countries.
88. The TNA website was financed through UNEP-CCC’s core support from Denmark.

Figure 5: CTCN engagement in TNA III

Survey question 8: To what extent did CTCN provide technical assistance to TNA III activities in your country?

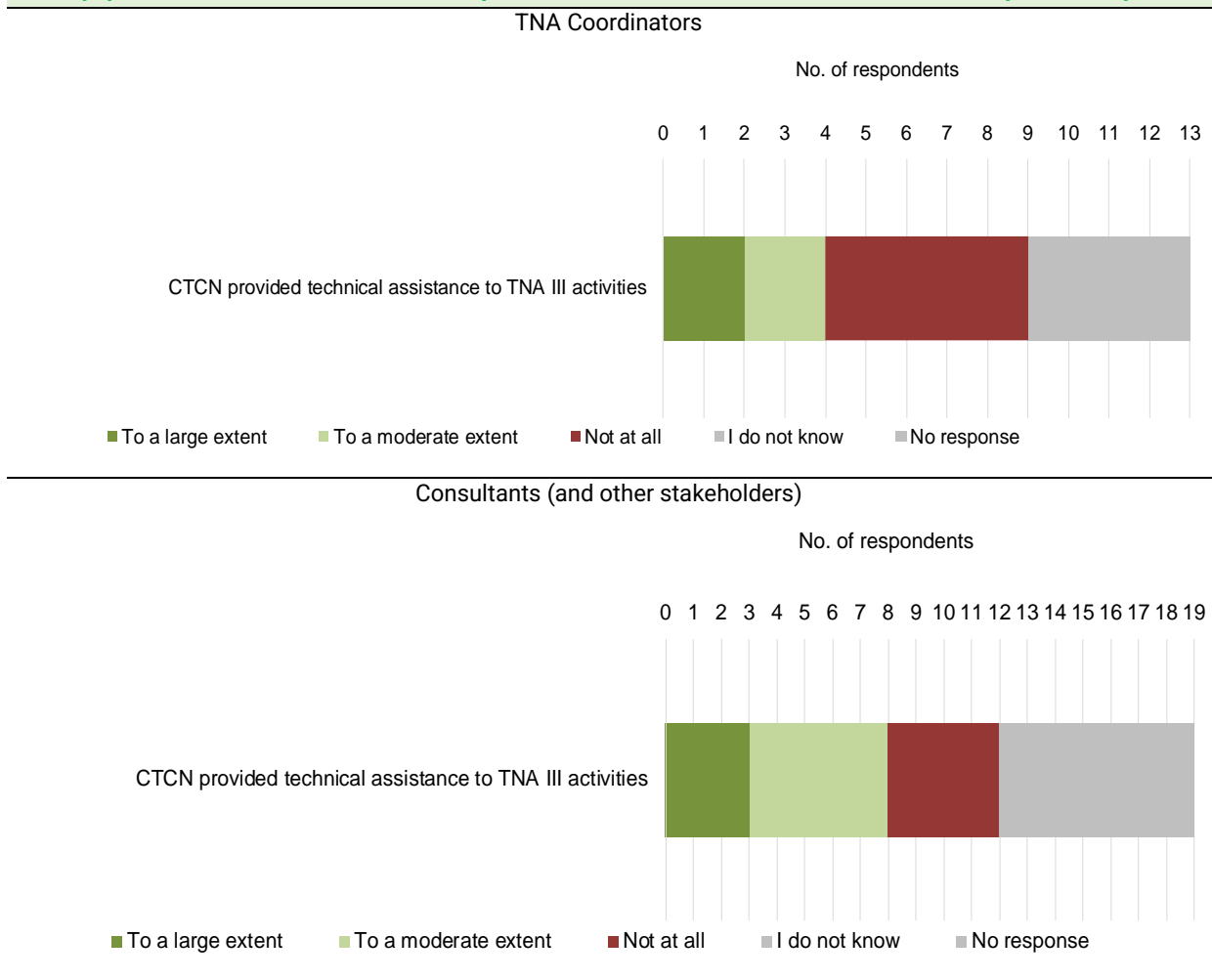
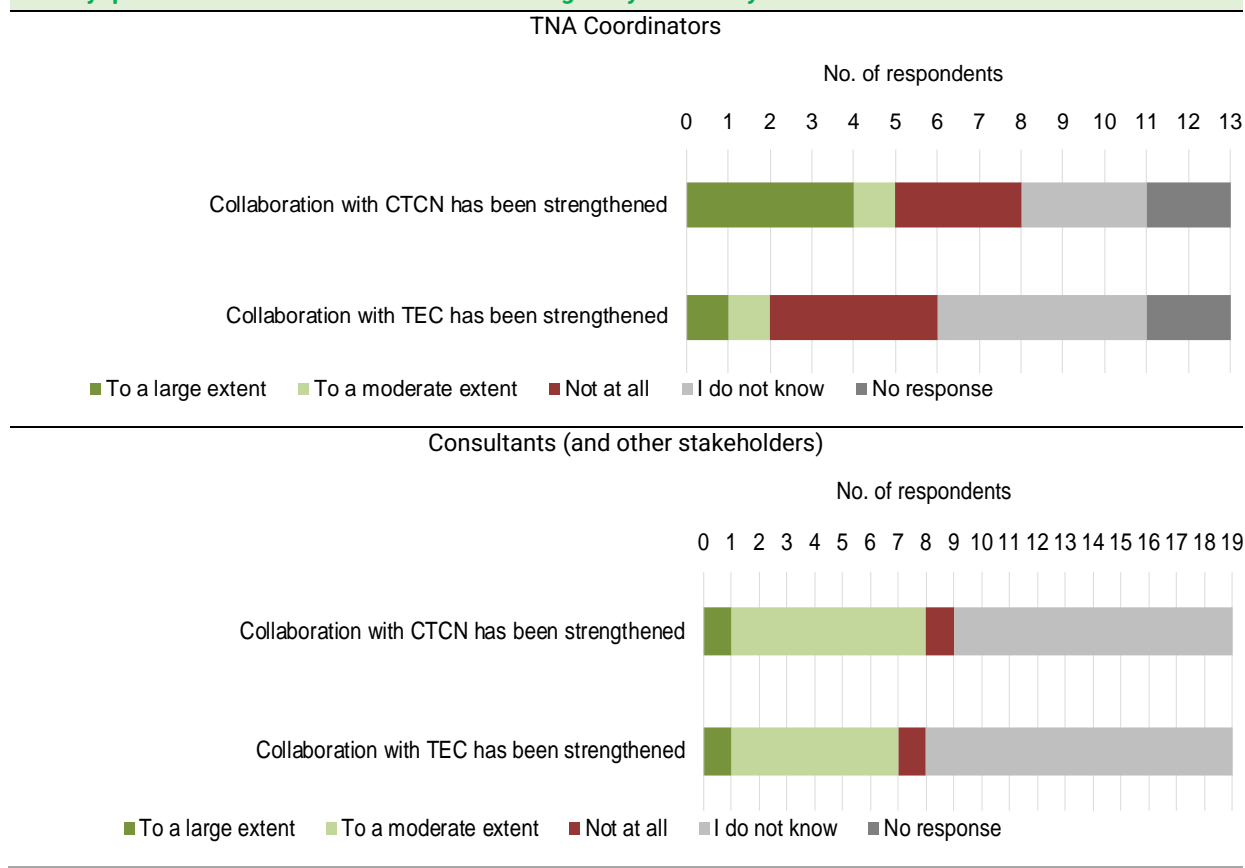


Figure 6: Change in collaboration with CTCN and TEC

Survey question 9: To what extent did TNA III strengthen your country's collaboration with CTCN and TEC?



Rating for Complementarity/Coherence: Satisfactory

Overall rating for Strategic Relevance: Highly Satisfactory

B. Effectiveness

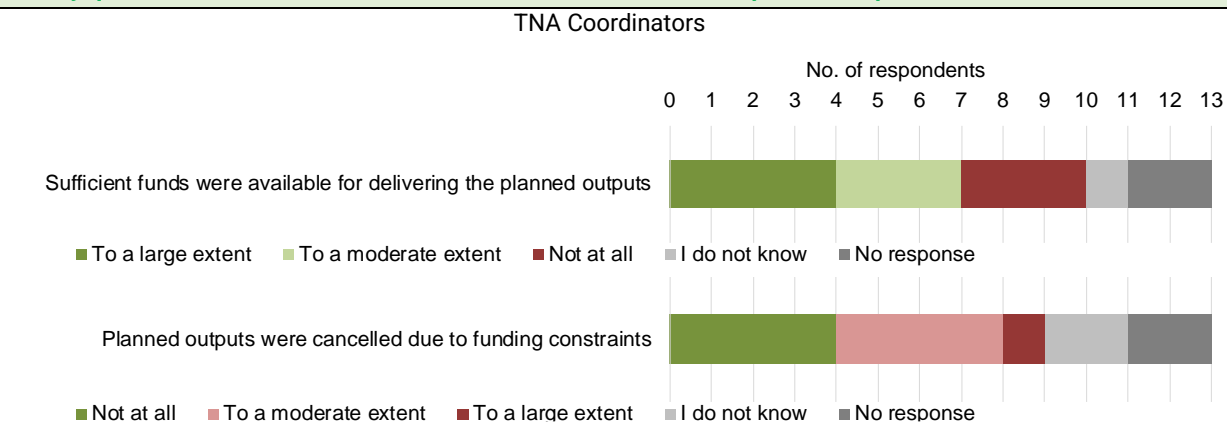
B.1. Availability of Outputs

89. The target for the project's outcome indicator 1 (*22 national institutional structures for TNA established, operational and strengthened to conduct the TNA-TAP process*) was achieved, in that all the participating countries established and operationalised structures for the implementation of the TNA process. TNA III had five main outputs at the country level; all of these were completed by most countries. All 22 countries completed their technology needs assessments (TNAs) and barrier analysis and enabling frameworks (BAEFs) for mitigation and adaptation. Twenty countries completed their technology action plans (TAPs) for mitigation, whereas 19 completed their TAPs for adaptation. However, in some countries, the formal government endorsement process takes time and is still ongoing. The target for the project's outcome indicator 1 and objective indicator 1 (*22 Second Generation TNAs and TAPs endorsed by governments*) was thus almost achieved.

90. 17 countries completed the development of concept notes. Hence, the objective indicator 2 target (22 project concepts prepared based on TAPs) was partly achieved. However, due to TNA III budget constraints, countries could only prepare one concept note and could thus not cover all sectors supported by the TNAs and TAPs let alone cover all the priority technologies identified for each sector but had to focus on one or two specific technology/ies in one sector.
91. Eighteen countries completed policy briefs for mitigation, whereas 17 countries finalised policy briefs for adaptation. Many countries prepared several policy briefs. The 18 countries also held final workshops and roundtable events. Hence, the target for outcome indicator 2 (22 national dissemination and donor engagement workshops with prepared advocacy materials policy makers, donors and investors) can be considered partly achieved.
92. In Suriname, the TNA process was severely affected by the COVID-19 pandemic, which contributed to the inability to complete all outputs. In Dominica, the project was delayed by COVID -19 and elections and did not restart after the transition from UDP to UNEP-CCC. In Nauru, COVID-19 also caused considerable delays and no concept note was prepared. Vanuatu completed all outputs for mitigation but did not complete the BAEF, TAP and policy brief for adaptation and did not develop a concept note. Afghanistan and Myanmar left TNA III in 2021 as outlined in paragraph 52 and were unable to complete their concept notes and policy briefs, whereas the other countries affected by political conditions, conflict and/or insecurity that were not favourable for implementation were able to complete all five outputs.
93. Due to financing constraints (see figure 7), countries were not always able to cover all the sectors they found important, nor could they engage as many stakeholders as they would have wanted to, especially missing out on local stakeholders in different parts of their country, one survey respondent reported that the financial constraints negatively affected the ability to engage with important private sector actors (large industries).

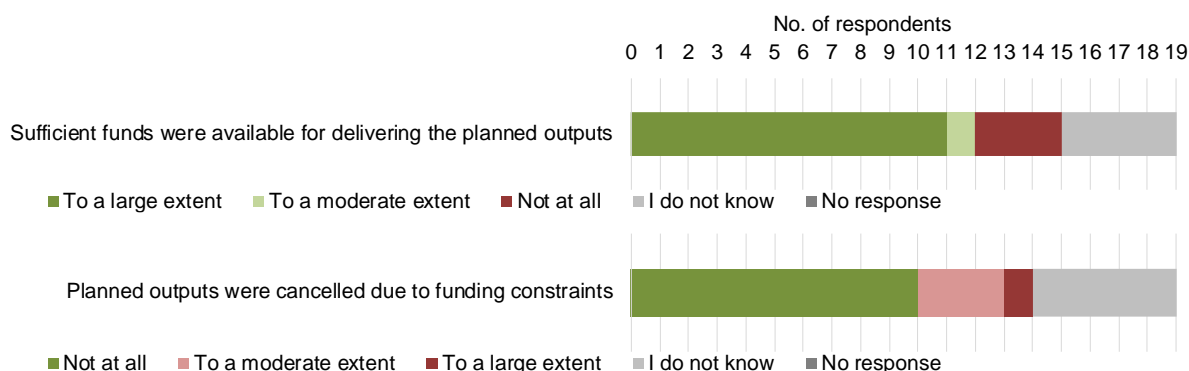
Figure 7: Availability of financial resources for TNA III implementation

Survey question 10: To what extent were funds available to deliver the planned outputs?



Survey question 10: To what extent were funds available to deliver the planned outputs?

Consultants (and other stakeholders)



94. TNA III drew upon the methodology developed under TNA I and TNA II, and further refined the methodology based on lessons and feedback from stakeholders. Specifically, the TNA Step-by-Step guide was updated, e.g. with new guidance on linking the TNA process with other national processes (e.g. NDCs, NAPs). Moreover, two new thematic guides were elaborated on gender and financing: *Preparing a gender-responsive TNA*, and *Finance Guide for Implementation of Technology Action Plans*. Thereby, the methodology-related targets in the original TNA III ToC were achieved.

95. Overall, there was a good level of satisfaction with the TNA guidance material among stakeholders in the participating countries (see figure 8). Among the consultants, who applied the tools and guides, there was a high level of satisfaction with the guidelines on the TNA-TAP process and on technology. The TNA Coordinators were highly satisfied with the briefing guidebooks, which is understandable given the policy briefs targeted decision-makers and would thus support the TNA Coordinators' engagement with decision-makers and others. Interviewees from the sample countries were generally satisfied and mostly highly satisfied with the material. A couple of interlocutors indicated that the TNA and TAP approach and guidance material were also being used for other purposes in their country (e.g. for technology assessments and NDC investment plans).

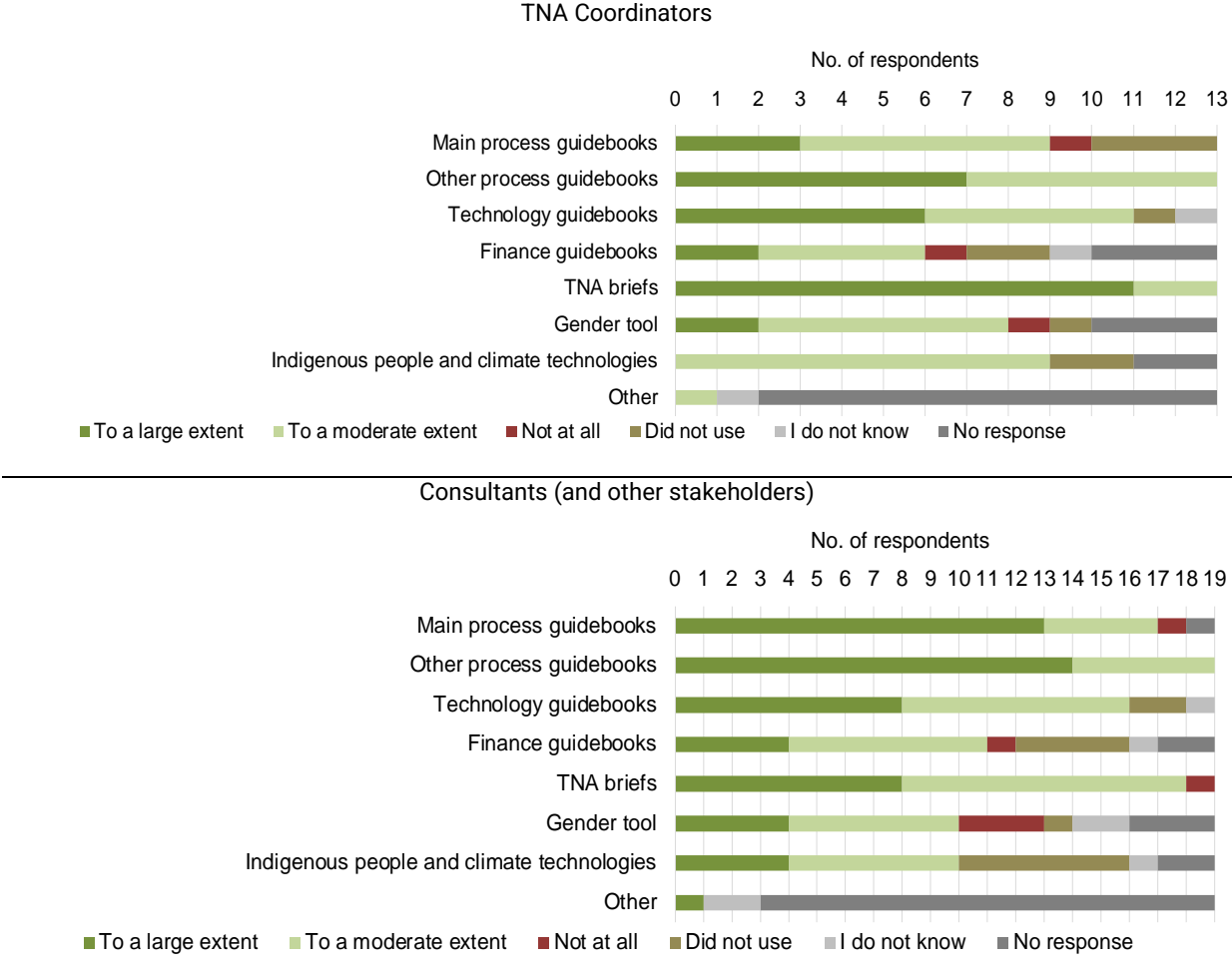
96. The gender (2018) and finance (2020) guides were not quite as well received, but still widely regarded as being moderately sufficient (see figure 8). However, it should also be noted that these tools were not applied by a significant number of countries – as noted in the TNA III final report: “... *there is evidence that some country teams have not fully utilized the significant amount of guidance material available online...An important lesson from this is that teams should be reminded frequently of the guidance material, how to access it, and the benefits of using it*”.

97. Moreover, UNEP-CCC had compiled suggestions from the country teams vis-à-vis updating and further revising guidance material. The TNA III final report contains detailed information on these suggestions. Further revision/updating of the TNA guiding material is among the planned activities of the planned TNA V, in response to the suggestions of the country

teams as well as on an analysis of guidance gaps carried out by UNEP-CCC for the TEC.

Figure 8: TNA III guidance materials and tools

Survey question 3: To what extent were the TNA III guidance and tools sufficient for driving the national TNA/TAP process?



Notes:

- Other process guidebooks: stakeholder engagement; identifying and prioritising technologies
- Technology guidebooks: climate change adaptation, coastal erosion, and flooding; water; transport; taxonomy

98. Workshops were held at global, regional, and national levels to build capacities vis-à-vis TNA-TAP processes. During COVID-19, these were held virtually. At the global level, a training workshop on TNA methodologies was held in Copenhagen for experts from the regional centre to enhance their capacities to support the country teams. In 2020, two global webinars (e-learning) were held – on gender and financing. At the regional level, 12 capacity building/training workshops (three per region) were held for national TNA Coordinators and consultants, either physically or virtually. These covered: 1) methodologies for technology prioritisation; 2) barrier analysis, enabling environment, communication and dissemination of TNAs; and 3) TAP and concept note development. Hence, the regional workshop target in the ToC was achieved. The TNA III budget accommodated the participation of the TNA Coordinator and two consultants from each country. However, some countries covered had more than two consultants engaged. For some

countries, this meant that not all the consultants were fully trained, and for at least one country, the consultants jointly covered the costs of participation of the remaining consultants themselves.

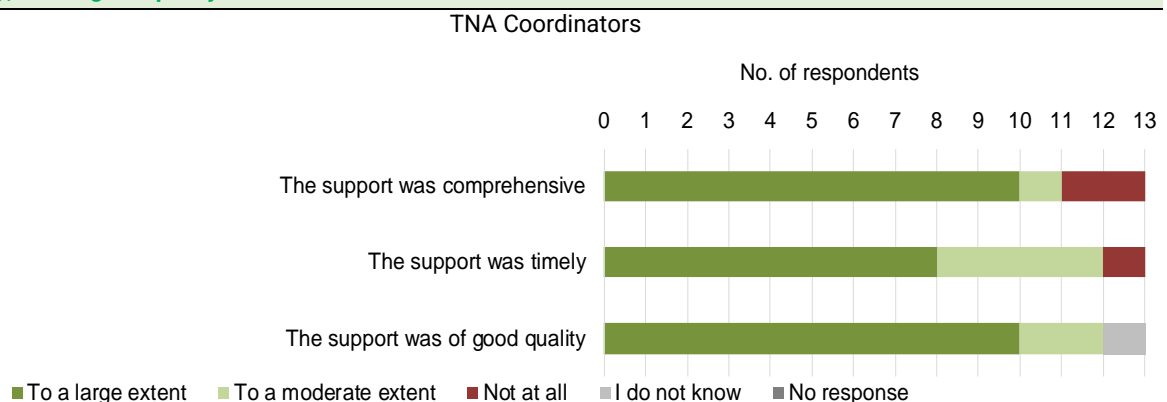
99. In-person national training workshops were held in each of the 22 countries. A second, online, training workshop was held for 20 countries (except Afghanistan and Myanmar, as they no longer participated in TNA III). Hence, the ToC target of holding two workshops in each country can be considered achieved.

100. Moreover, the main written outputs produced at country level (TNAs, BAEFs, TAPs, concept notes, policy briefs) were reviewed by staff at the regional centres and in UNEP-CCC. Furthermore, technical and methodological advice was provided to the countries upon request.

101. Overall, there was a high degree of satisfaction and appreciation among national TNA Coordinators and consultants of the comprehensiveness, quality, and timeliness of the support from UNEP-CCC (see figure 9) and an almost equally degree of appreciation of the support from the regional centres (see figure 10); interviewees also had a positive view on the support received. The degree of appreciation was a bit higher among the consultants than the TNA Coordinators, possibly because the consultants were more deeply engaged in the technical application of the TNA methodology. However, a couple of respondents found that the feedback on draft documents was not always timely, and one respondent indicated that comments were never received on some draft policy briefs. One respondent found that the support at times lacked the local perspective. A couple of respondents would have liked more support from the regional centres, including more in-person engagement due to the novelty and complexity of the TNA methodology for the national teams.

Figure 9: Support and advisory from UNEP-CCC under TNA III

Survey question 4: To what extent was the support and technical advice received from UNEP-CCC comprehensive, timely, and of good quality?



Survey question 4: To what extent was the support and technical advice received from UNEP-CCC comprehensive, timely, and of good quality?

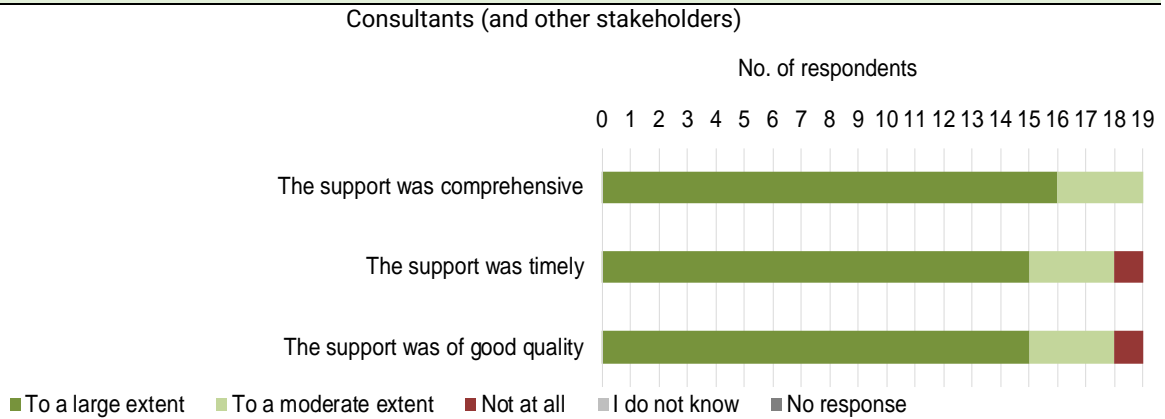
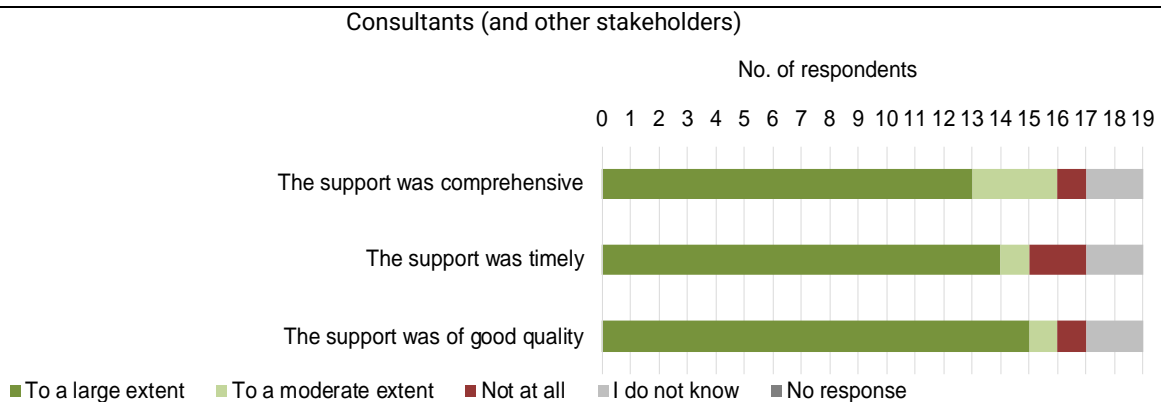
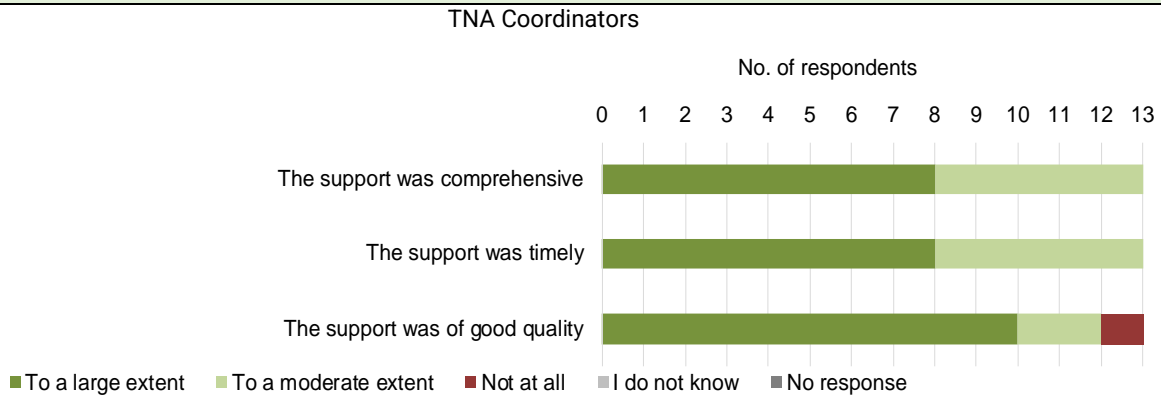


Figure 10: Support and advisory from Regional Centres under TNA III

Survey question 5: To what extent was the support and technical advice received from Regional Centres comprehensive, timely, and of good quality?

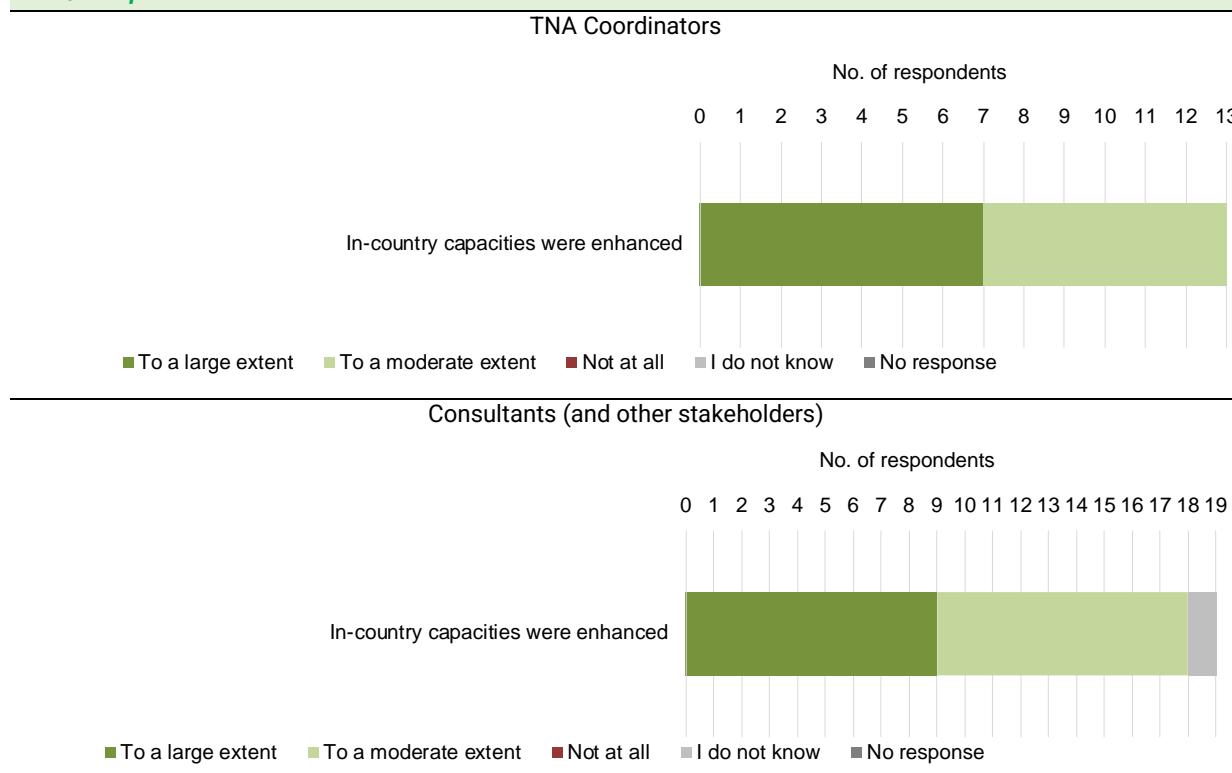


102. Approximately half the respondents to the survey found that TNA III participation had significantly enhanced the capacity of their country to implement TNA and TAP processes, whereas the remaining half found that participation in the project had moderately enhanced national capacities (see figure 11). A few interlocutors found that the training on the TNA and TAP methodologies was too compressed with a steep learning curve and a lot of information to absorb and called for extending the duration of the trainings to facilitate absorption. Some interlocutors also indicated that

implementation of TNAs and TAPs in other sectors, or updating TNAs and TAPs in the sectors covered by the project would require external financial support.

Figure 11: Effect of TNA III on in-country capacities

Survey question 6: To what extent has the participation in TNA III enhanced in-country capacities to implement TNA/TAP processes?



Highly satisfactory

B.2. Achievement of Project Outcomes

103. Most survey respondents reported that TNA and/or TAP results have at least to a moderate extent, and in some cases to a large extent, been integrated in national climate change plans, incl. NDCs (see figure 12). As described earlier, in most countries, the TNA/TAP process was linked to the NDC process. Similarly, the majority of respondents found that TNA/TAP results have at least to some extent been integrated in national development planning and sector planning, albeit not to the same degree as for climate change plans. Overall, this indicates buy-in by the concerned government entities.

104. It should be kept in mind, that the potential for influencing planning depends on timing vis-à-vis the planning cycle and when there is a window of opportunity to exert influence. As one survey respondent wrote: *“Indeed, it depends on a number of factors, including whether the opportunity arises...the results of the TNA have been used in certain documents currently being formulated, such as the revision of [the country’s] NDC...We believe that the TNA results will be essential for future strategies and plans”*. Moreover, expectations vis-à-vis influence on planning should be realistic; considering

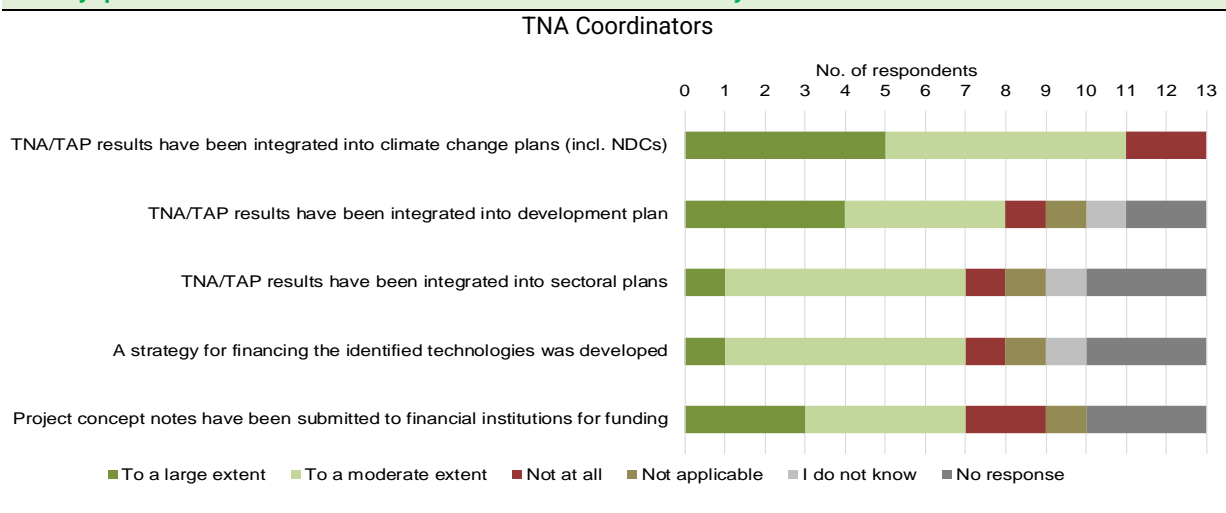
a) the limited project funding available for each country and that the project did not directly engaging in supporting wider climate change, development or sectorial planning processes, b) that the participating countries were very diverse, and c) that several other initiatives and actors also seek to influence planning at the country level.

105. It was also widely reported that financing strategies for the identified technologies were to some extent developed. A number of respondents reported that project concept notes had to some extent been submitted for funding, while a smaller number reported that this had been achieved to a significant degree; this reflects that while most countries had developed concept notes, most of these had not yet been submitted to donors at the time of the terminal review survey (source: TNA III country status database, October 2023). One survey respondent wrote: *“submission and approval of project concept notes is ongoing”*. Nonetheless, Liberia and Sao Tomé and Principe have mobilised GCF readiness funding for sustainable energy with a direct link to their TNAs. Fiji has mobilised funding from the Fiji Rural Electrification Trust Fund and from the Adaptation Fund with project proposals that refer to technologies priorities in the TNA. Moreover, some countries, which participated in previous TNA phases, successfully mobilised funding for the implementation of priorities identified in their TAPs. Particularly prominent examples are Pakistan, which mobilised USD 583 million from the Asian Development Bank and GCF for urban public transportation, and Thailand (mitigation), which mobilised USD 33,9 million from GCF and UNDP for ecosystem-based improved agricultural water management (adaptation).

106. The government in 18 countries issued letters of intent, which indicates government buy-in at least at the institutions issuing the letters, and that the TNAs and TAPs have been endorsed, or are in the process of being endorsed. However, such letters were not obtained from financiers. Hence the second half of objective indicator 2 (*Number of TAP follow-up project concepts with letters of intents from the Government and financiers*) was only in part delivered against.

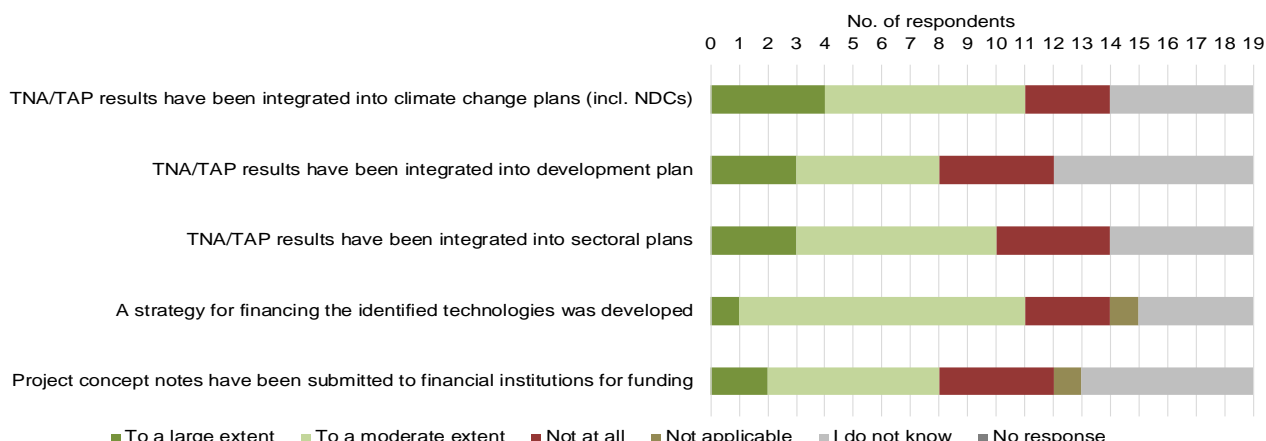
Figure 12: TNA III outcomes

Survey question 7: To what extent have TNA III activities led to catalytic effects?



Survey question 7: To what extent have TNA III activities led to catalytic effects?

Consultants (and other stakeholders)



Rating for Achievement of Outcomes: Satisfactory

B.3. Achievement of Likelihood of Impact

107. TNA III was an enabling activity and not intended (or resourced) to directly deploy technologies to deliver tangible climate action impacts (greenhouse gas emission reductions, enhanced resiliency). Therefore, this sub-section focuses on the results and progress towards achieving the intermediate states, which TNA III was intended to help laying the foundations for. As for the outcome level, it should be kept in mind that other factors exert considerable influence over the achievement of the intermediate states and that the participating countries were very diverse. As such, results at this level are difficult to attribute to TNA III, except, when funding is successfully mobilised for the implementation of the concept notes developed with TNA III support, or when other interventions are specifically intended to implement elements of the TAPs.

108. Moreover, it is too early to assess the contribution towards the intermediate states, considering a) policy processes take time and often have time-specific windows of opportunity, which may yet emerge, and b) that most of the concept notes developed have not yet been submitted to donors for funding. Furthermore, it is impossible to assess the extent to which TNA's and TAPs have informed, or will inform, concept notes and funding proposals developed outside TNA III. One interlocutor reported that a TNA was a reference document for a proposal submitted to the GEF LDC Fund.

109. The extent to which the drivers and assumptions hold, inevitably vary considerably among the diverse groups of 22 countries, which are spread over different regions, but it is beyond the means of the terminal review to assess their validity in each country. Nonetheless, the evidence available suggests that the stakeholders generally have been interested and active. Moreover, the national government support has been adequate in most countries, although a small number of stakeholders reported shortcomings vis-à-vis government assuming ownership of the TNA III results, insufficient

coordination and collaboration within and among ministries, lengthy government decision-making processes, and insufficient delegation of authority within ministries. Similarly, there appears to have been sufficient political support and importance given to the TNA priorities and TAP implementation in some, but not all, countries. Moreover, private sector engagement has at least in some countries been challenging, especially vis-à-vis adaptation.

110. Availability of domestic finance for deployment of technology is a major constraint across the TNA III countries (almost every country was an LDC or a SIDS). As such, the implementation of the TAPs hinges on the ability to mobilise international funding. Priorities related to adaptation in particular hinge on ODA, whereas public and private investments in energy (mitigation) appear more available, even if still challenging.
111. There are some multilateral mechanisms available for investment in technology deployment, in particular the GCF which was established to finance climate solutions at scale. Moreover, the GCF encourages countries to use their TNAs and TAPs as inputs to the preparation of GCF projects. Indeed, the majority of the concept notes developed under TNA III specifically targeted the GCF. However, stakeholders report that GCF project proposal requirements and procedures are complex and challenging to meet. One country reported that their submission to the GCF was rejected and needed to be resubmitted. Only one concept note targeted the GEF. Recently, the GEF has also begun to encourage countries to use their TNAs and TAPs as inputs to their funding requests by introducing a reference to TNA in the project template.
112. The interest of other multilateral donors, as well as bilateral donors, in building their support on the TNAs and TAPs is less clear. One concept note targeted the European Bank for Reconstruction and Development (ERBD) and two did not target specific donors. Nonetheless, Denmark provided financial support for stakeholder mobilisation in Uganda, which was linked to the further development of the concept note elaborated with TNA III support.
113. However, while it is too early to assess the extent to which the concept notes will lead to finance projects or funding will be mobilised for wider implementation of the TAPs, the global picture is that a) LDCs and SIDS do not receive sufficient ODA to address their mitigation and especially their adaptation needs, and b) Annex I Parties have not yet met the financial pledges made at COPs. Hence, it appears unlikely that the countries will be able to fully finance the implementation of the TAPs. Several country-level stakeholders expressed frustration about the major financial limitations vis-à-vis translating the TAPs into tangible investments. One survey respondent called for a global follow-on project to support pilot projects for the implementation of the TAPs. Another respondent requested further collaboration to communicate the TAP concept to financial institutions.
114. At the international level, the TNAs and TAPs respond specifically to COP decisions, as such there is international political support. However, the extent to which Annex I Parties prioritise the international technology transfer to non-Annex I Parties is less clear. Given that most concept notes target the

GCF, most have not yet been submitted, and that it is premature to assess the policy influence of TNA III, it is also too early to assess the contribution of TNA III towards technology transfer and diffusion – although the contribution will clearly be affected by the financing constraints described above. Moreover, it is not possible to specifically link technology transfer decisions by donors to the international communication and advocacy activities under TNA III.

115. Given the above considerations, it is unsurprising that most survey respondents reported a modest contribution, no contribution, or a lack of knowledge about the contribution of TNA III to catalytic effects, such as policy influence, funding for technology deployment, and technology transfer (see figure 13).

Figure 13: TNA III contribution to impact

Survey question 7: To what extent have TNA III activities led to catalytic effects?



Rating for Likelihood of Impact: Moderately unlikely

Overall rating for Effectiveness: Highly satisfactory

C. Financial Management

116. Since TNA III was executed internally by UNEP and, UNEP’s own financial system and established processes for the partnerships with UDP and UNEP-CCC were used. As such, each agency adhered to established financial policies and procedures, and no evidence has been found of non-adherence to these. Budget revisions were minor, timely, and duly approved. However, COVID-19 and the transition from UDP to UNEP-CCC created some administrative challenges, which to some extent affected disbursements, but this happened towards the end of the project, and did thus only significantly affect implementation in some countries (see figure 14). However, it did moderately affect the timeliness of payments to several consultants, as did issues with the banks or account information in the recipient country. Most national stakeholders were fully satisfied with the financial guidance provided by UNEP-CCC (see figure 15).

117. UNEP provided the TR annual and cumulative financial statements for the spending up till early 2024. Budget revisions were made available. Co-financing confirmation letters were available, although co-financing is not a mandatory requirement for enabling activities. The financial status of TNA III was clear to the Project Manager (PM) and Task Managers (TM) in UNEP and UNEP-CCC. No evidence of shortcomings in the communication between finance and project management staff were found. Finance staff responded readily questions and requests by the TR.

118. Table 8 provides a detailed assessment of the financial management.

Figure 14: Availability of financial resources for TNA III implementation

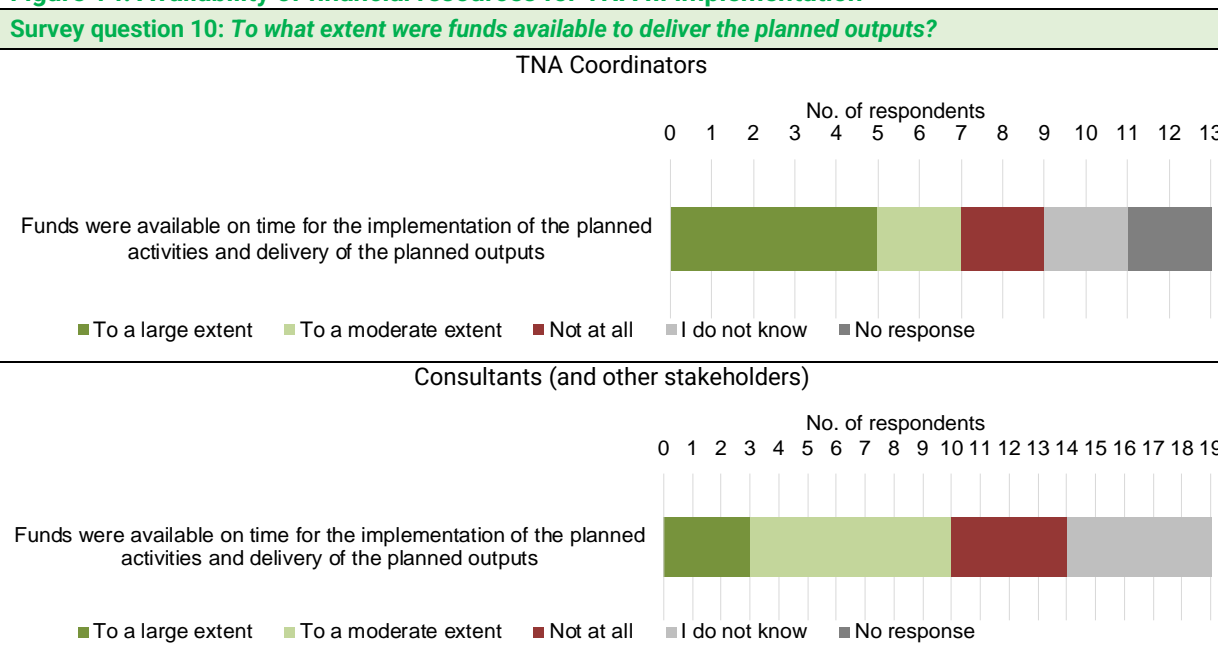


Figure 15: Sufficiency of financial guidance and support from UNEP-CCC

Survey question 11: To what extent were UNEP-CCC staff responsive in addressing and resolving financial issues?

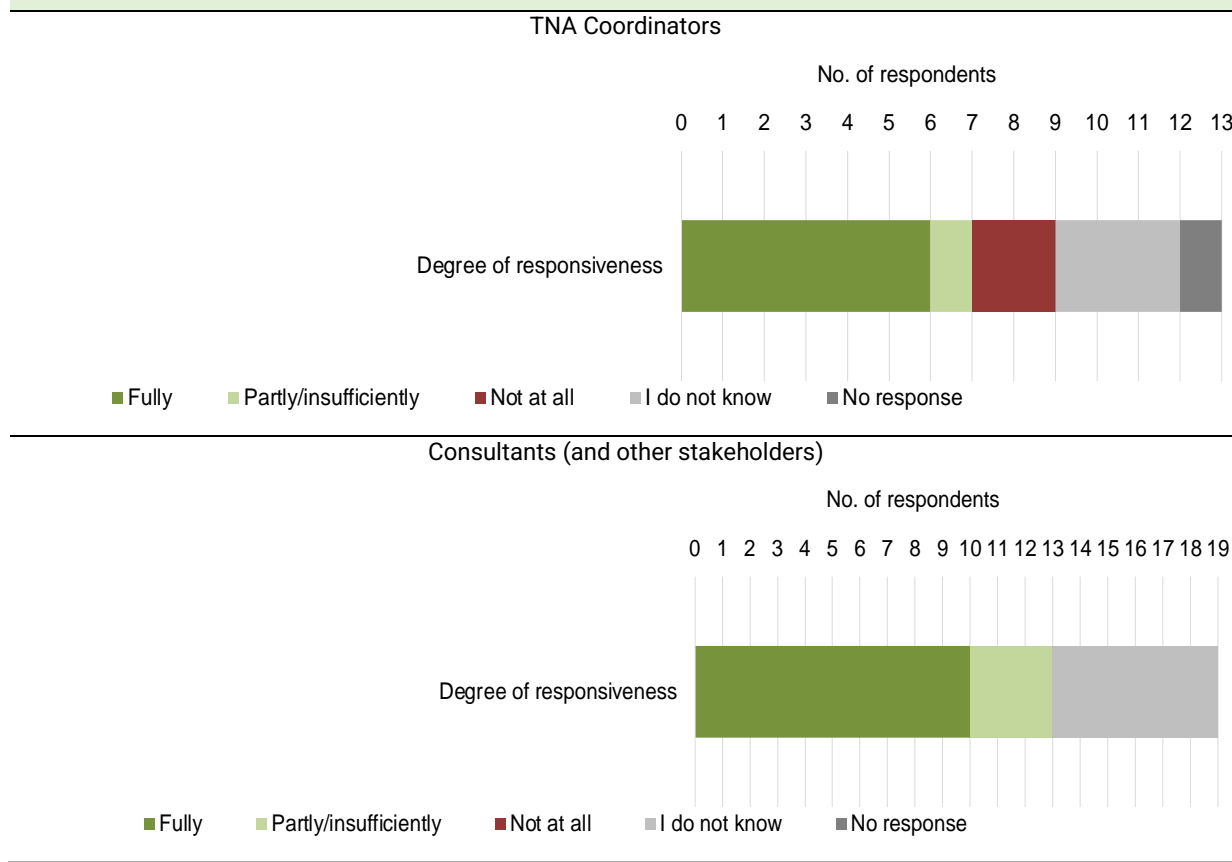


Table 8: Financial Management Table

Financial management components:		Rating	Evidence/comments
1. Adherence to UNEP’s policies and procedures:		S	
Any evidence that indicates shortcomings in the project’s adherence to UNEP or donor policies, procedures or rules		No	No major shortcomings found. Timely reporting. Spending within budget. Budget revisions were timely and minor. Funds not always available timely for countries and consultants.
2. Completeness of project financial information:			
Provision of key documents to the reviewer (based on the responses to A-H below)		S	
A.	Co-financing and Project Cost’s tables at design (by budget lines)	Yes	The CEO Endorsement Request contains cost tables and information on in-kind co-financing.
B.	Revisions to the budget	Yes	Revised budgets were provided with the 3 project revisions.
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes (examples)	Representative examples of legal agreements with countries, regional centres and consultants were provided.
D.	Proof of fund transfers	Yes (examples)	Proof of fund transfers from UNEP to UDP/UNEP-CCC provided. Representative examples of proof of transfer from UDP/UNEP-CCC to regional centres and countries provided.

Financial management components:		Rating	Evidence/comments
E.	Proof of co-financing (cash and in-kind)	Yes	Co-financing proof provided for UNEP, UNEP-CCC, UDP, CTCN and countries – co-financing is not a requirement for enabling activities.
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	Information provided as of 31 March 2023
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	N/A	No audit reports provided for UNEP and UNEP-CCC, as not required by GEF. Comfort letter provided for UDP. Financial reports and spending by regional centres and countries was not audited, UNEP-CCC had the right to request audits but did not experience any needs to do so.
H.	Any other financial information that was required for this project (list):	N/A	
Communication between finance and project management staff		HS	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		HS	Up-to-date and complete financial records available.
Fund Management Officer's knowledge of project progress/status when disbursements are done.		HS	Up-to-date and complete financial records available.
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		HS	No issues related to the project. Challenges related to transition from UDP to UN-CCC were solved.
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		HS	Worked well, no communication issues found.
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the review process		HS	Additional information readily provided upon request.
Overall rating		S	

Rating for Financial Management: Satisfactory

D. Efficiency

119. TNA III started as scheduled but the completion date was extended by two full years due to delays. The delays experienced were due to factors outside the control of the project.
120. The extension due to the major challenges and delays emanating from travel restrictions and social distancing measures associates with the COVID-19 pandemic. In some countries, COVID-19 was a major disruption to implementation and in a few countries a main reason for not delivering all outputs (see section V.B.1), whereas TNA and TAP processes were much less affected in other countries. At global, regional, and country level, workshops, trainings, and stakeholder consultations were held virtually, but internet connectivity was an obstacle in some countries.
121. Furthermore, delays were experienced due to the institutional transition from UDP to UNEP-CCC, which meant that consultant contracts with DTU had to be cancelled and new contracts entered, creating a gap period, where the consultants were not under contract. In some countries, delays were also experienced due to various domestic factors, such as insufficient

coordination and communication among government entities, slow government approval processes, insufficient delegation of authority within the responsible government entity, public reforms, and elections.

122. While activities and outputs were delayed, all activities were implemented at the global and regional levels, as well as in most countries, (see figure 16). Most countries delivered all the five main outputs (see section V.B.1). Afghanistan and Myanmar could not complete the project due to political conditions that were not favourable for implementation as outlined in paragraph 52.

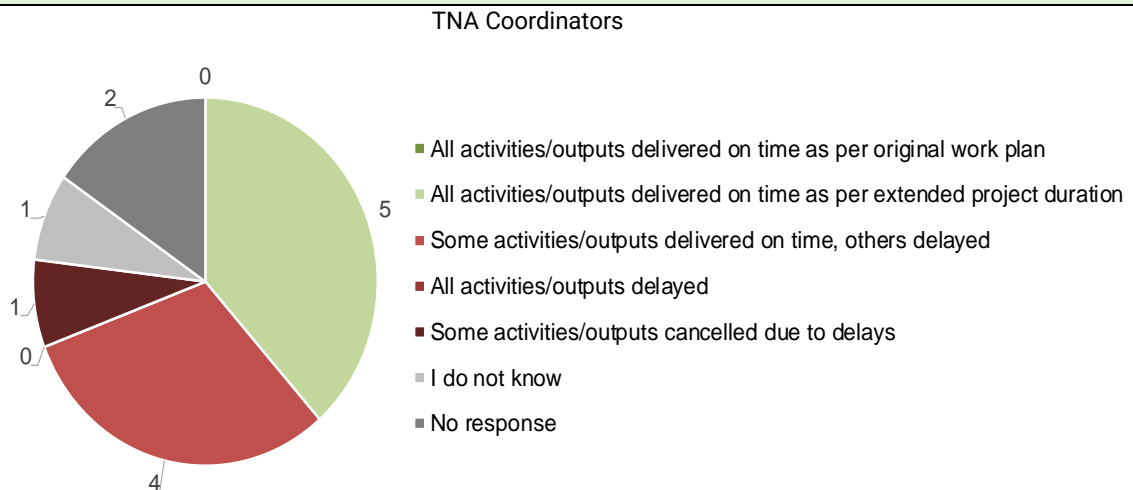
123. Spending was largely aligned with original budget (see table 5), albeit generally a bit lower than budgeted, reflecting that some countries could not complete the process. The spending on training was considerably less than budgeted, due to cost savings as many workshops were held virtually, due to COVID-19. Project management costs were a bit higher than budgeted, which is unsurprising, given that a longer implementation period is associated with increased salary costs.

124. At the country level, TNA III was embedded in existing government structures. Moreover, at the global and regional level, the project was implemented using the structures already established for TNA I and II within UNEP and UNEP-CCC/UDP, as well as existing TNA partnerships with the regional centres. There was thus a high degree of continuity from TNA I-II and further on to TNA IV-V, and also a high degree of institutional memory and TNA experience among key staff at UNEP-CCC and the regional centres. The methodology from TNA I-II was used and further refined.

125. Countries were encouraged to cover no more than two mitigation sectors and two adaptation sectors, but several countries chose to cover more sectors, thereby further stretching the limited resources available. The delivery of the TNAs took considerable time and resources, often leaving less than ideal amounts of time, energy, and resources for producing the TAPs, concept notes, and policy briefs.

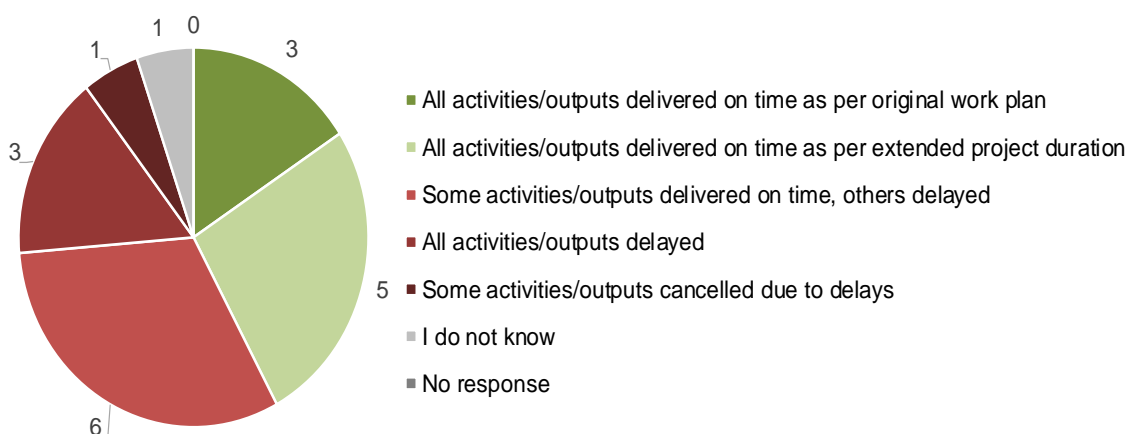
Figure 16: Timeliness of TNA III implementation

Survey question 12: To what extent were TNA III activities and outputs delivered in a timely manner?



Survey question 12: To what extent were TNA III activities and outputs delivered in a timely manner?

Consultants (and other stakeholders)



Rating for Efficiency: Satisfactory

E. Monitoring and Reporting

E.1. Monitoring of Project Implementation

126. The monitoring and evaluation plan in the CEO Endorsement Request covered the various technical and financial reports as well as evaluation/review and audit but did not specify monitoring data collection and analysis activities. The plan was budgeted, but the monitoring was to be covered exclusively by co-financing, whereas the GEF grant would cover the MTR and TR costs. The MTR was carried out internally by the project management team.

127. The results framework contained four measurable and appropriate indicators with baselines and targets. While these indicators and targets were defined for the project objective and outcome, they in reality captured outputs (such as numbers of TNAs, TAPs, and concept notes, dissemination workshops, and advocacy materials). They did not capture the BAEFs. No milestones were defined, but in practice achievement of the TNAs (and BAEFs) would be required milestones before TAPs were developed, which in turn would be required milestones for the concept notes. The outcome level was not fully captured by the indicators (e.g. planning and policy influence, funding mobilised for TAP and concept note implementation), although the second objective indicator partly reflected this level with reference to letters of intent from governments and financiers. None of the four indicators were of a nature that would require gender disaggregation, nor were any gender indicators or targets defined.

128. Data was collected on the delivery of the project outputs. Moreover, the monitoring data collected and analysed went beyond the indicators, and also covered: the donors targeted by the concept notes and whether they had been submitted for funding, the sectors covered by the outputs and whether

the focus was on mitigation or adaptation, barriers and enablers identified, and technology types prioritised in each sector. Moreover, some information going beyond the direct implementation of TNA and TAP processes was gathered, such as: direct and indirect TNA links to NDCs, CTCN support, and GCF and GEF projects. However, this data and analysis was not fully reflected in the progress reports or final report, but it did inform Steering Committee discussions and the identification of key bottlenecks to address.

Rating for Monitoring of Project Implementation: Satisfactory

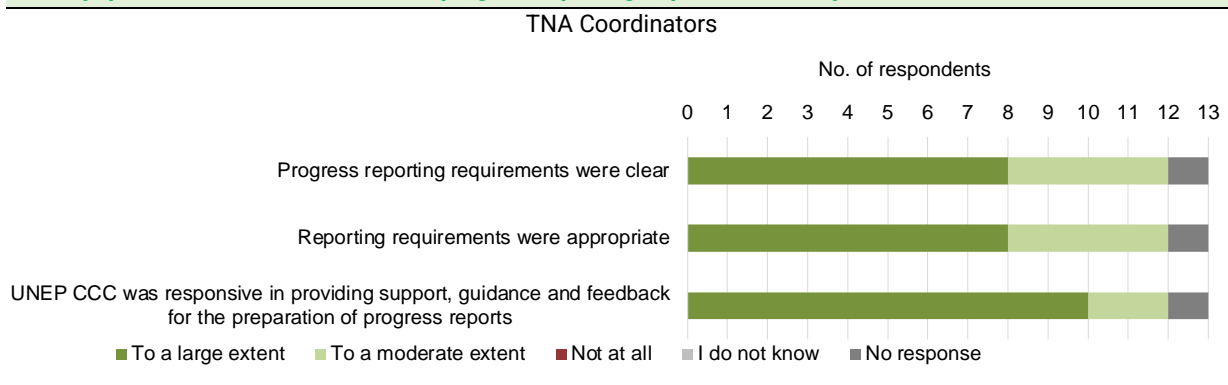
E.2. Project Reporting

129. The following progress reports were prepared and submitted by the PMU: quarterly financial reports, half-yearly progress reports (HYPR), annual project implementation review (PIR) reports, and a final report. Steering Committee meetings were also used to report on progress. Overall, the HYPRs, PIRs, and final reports provided a clear and comprehensive overview of the implementation status of activities and outputs. However, higher level outcomes, such as the above-mentioned data collected were not fully reflected; they were partly covered in the PIRs, but not in the final report. Nonetheless, the final report contained a comprehensive section on lessons learned, including recommendations from the national teams. The HYPRs and PIRs also covered risk management. Gender was covered in the PIR, capturing gender activities (guidelines and workshops), mainstreaming of gender across activities, and the gender balance among national TNA Coordinators and consultants. Communication between UNEP-CCC and UNEP was regular.

130. National stakeholders were overall satisfied with the reporting requirements and with the reporting guidance provided by UNEP-CCC (see figure 17).

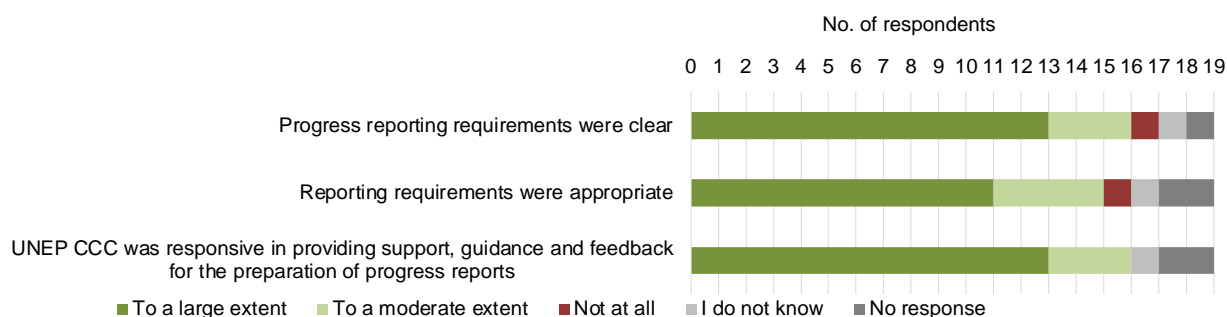
Figure 17: Appropriateness of progress reporting mechanisms

Survey question 21: Please rate TNA III progress reporting requirements and process



Survey question 21: Please rate TNA III progress reporting requirements and process

Consultants (and other stakeholders)



Rating for Reporting: Satisfactory

Overall rating for Monitoring and Reporting: Satisfactory

F. Sustainability

F.1. Institutional Sustainability

131. UNEP, UNEP-CCC, and the regional centres have been continuously engaged in TNA for several years, and a new phase (TNA V) is under development. The TNA and TAP methodologies have been developed and further refined over the years, and several of the key staff at UNEP-CCC and the regional centres have worked on TNAs for many years. Thus, the institutional buy-in and capacity to further support TNA and TAP processes is high. UNEP also hosts CTCN, which is also engaged in TNA support and draws on the methodologies developed under TNA I-III. However, neither UNEP nor UNEP-CCC have any follow-on projects dedicated to supporting TNA countries in securing funding and implementing TAPs and concept notes, after the completion of the five project outputs.

132. The exit strategy of TNA III was essentially to build capacities of national TNA Coordinators, consultants, and stakeholders, to impart the necessary skills for assessing technologies and conducting TNA and TAP processes, and to take the TAPs further towards implementation, and to replicate for other technologies and sectors. Moreover, countries were encouraged to integrate TNA and TAP in other national climate action processes, in particular NDC processes.

133. The exit strategy was successful insofar the capacities were indeed build, as was their ownership of the TNAs and TAPs. TNAs and TAPs were in many countries linked to NDC and other planning processes, rather than being separate stand-alone processes; and in many countries, the NDE for the UNFCCC Technology Mechanism was also coordinating TNA III implementation. Moreover, countries signed letters of intent vis-à-vis pursuing the implementation of their TAPs. However, government ownership at the decision-making level appears uneven; while it appears strong in some countries, this does not appear to be the case in others. Moreover, there is no evidence of governments adopting TNAs and TAPs as standard government

practice or of replication in other sectors. Only a small number of survey respondents indicated that their governments had invested in or implemented priority actions identified in the TAPs as of end 2023 (see figure 18). Ultimately, the institutional sustainability hinges on the access to external funding.

Rating for Institutional Sustainability: Moderately unlikely

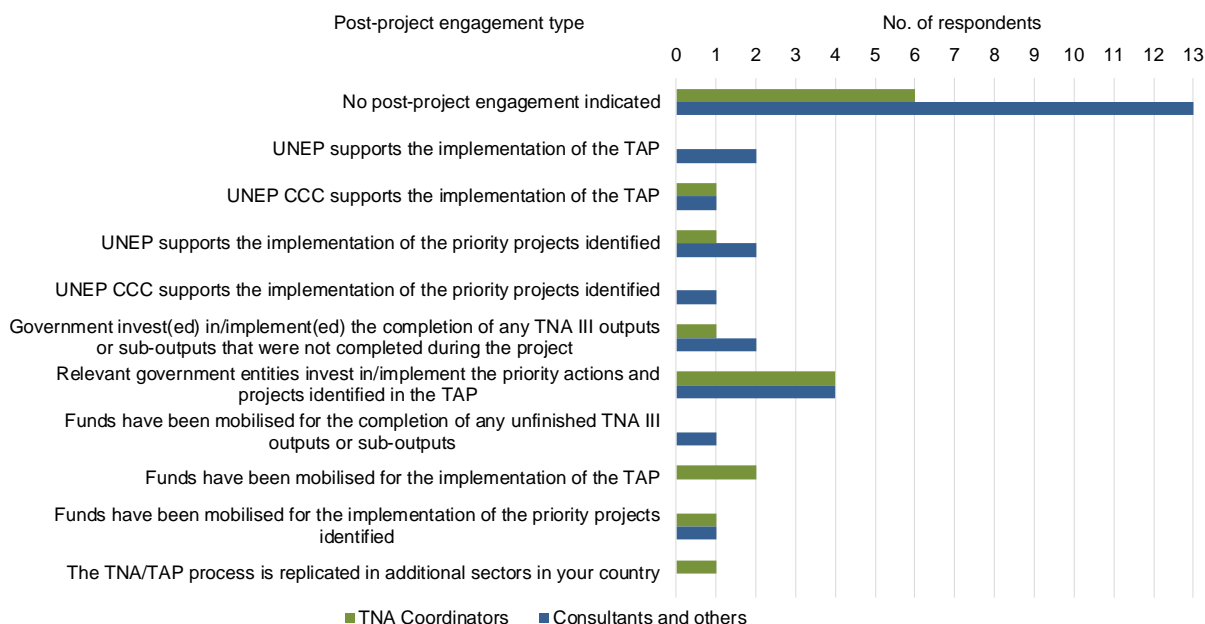
F.2. Other Dimensions of Sustainability (Social, Political, Financial)

134. TNA/TAP approach is recognised in the UNFCCC context and monitored by the TEC. Moreover, it can both help countries in preparing NDCs, and contribute toward linking NDC priorities to appropriate technology selection and mobilisation of financing. As such, there is political ownership at the global level. The GEF is committed to continue providing funding for TNAs and TAPs, as evidenced by the upcoming TNA V. Moreover, the GCF, and more recently also the GEF, encourages countries to make use of their TNAs and TAPs in their proposals for funding. In its internal guidance, the World Bank also refers to TNAs as a possible means that project proponents can use to demonstrate that an investment will lead to a significant climate change mitigation or adaptation contribution.
135. At the country level, the country-driven and participatory approach has ensured stakeholder buy-in, although government ownership at senior level appears to vary among the countries. However, continued motivation and interest depend on the ability to attract funding to implement the priority actions identified in the TAPs. Moreover, engaging the private sector, especially vis-à-vis investing in adaptation, proved difficult. Financial sustainability remains the biggest challenge, in terms of mobilising resources for TAP implementation, for updating the TNAs and TAPs in the future, and for replicating TNA and TAP processes for other technologies and in other sectors. Most of the participating countries on TNA III were LDCs and SIDS so this entirely hinges on access to external funding. Some countries may be willing to invest part of the GEF STAR allocations in this (as several countries will do under TNA V), but in-country competition for STAR resources is high, not least in LDCs and SIDS. With most concept notes not yet submitted for funding, it is too early to assess the extent to which financial sustainability will be achieved – for the concept notes, and especially for TNA priority technologies and TAP actions and not covered by concept notes. To date, there are only few examples of financing being mobilised (see figure 18).

Figure 18: Level of post-project continuity

Survey question 24: Looking beyond the TNA III project, which of the following post-project engagements are currently taking place in your country?

Survey question 24: Looking beyond the TNA III project, which of the following post-project engagements are currently taking place in your country?



Rating for Other Dimensions of Sustainability: Moderately unlikely

Overall rating for Sustainability: Moderately unlikely

G. Factors Affecting Performance and Cross-Cutting Issues

G.1. Quality of Project Management and Supervision

136. The PSC met four times, twice in 2020, in 2021, and after project completion in 2023. The internal Executive Steering Committee, which comprised UNEP and UNEP-CCC, this internal committee met in 2019, 2020, and 2022. Project progress was reported to the PSC, and various key topics were discussed, such as private sector engagement and technology fund mobilisation. AS such, the PSC served as a body for providing information to key global stakeholders, which were members of the PSC. However, the PSC and Executive Steering Committee did not serve as decision-making bodies.

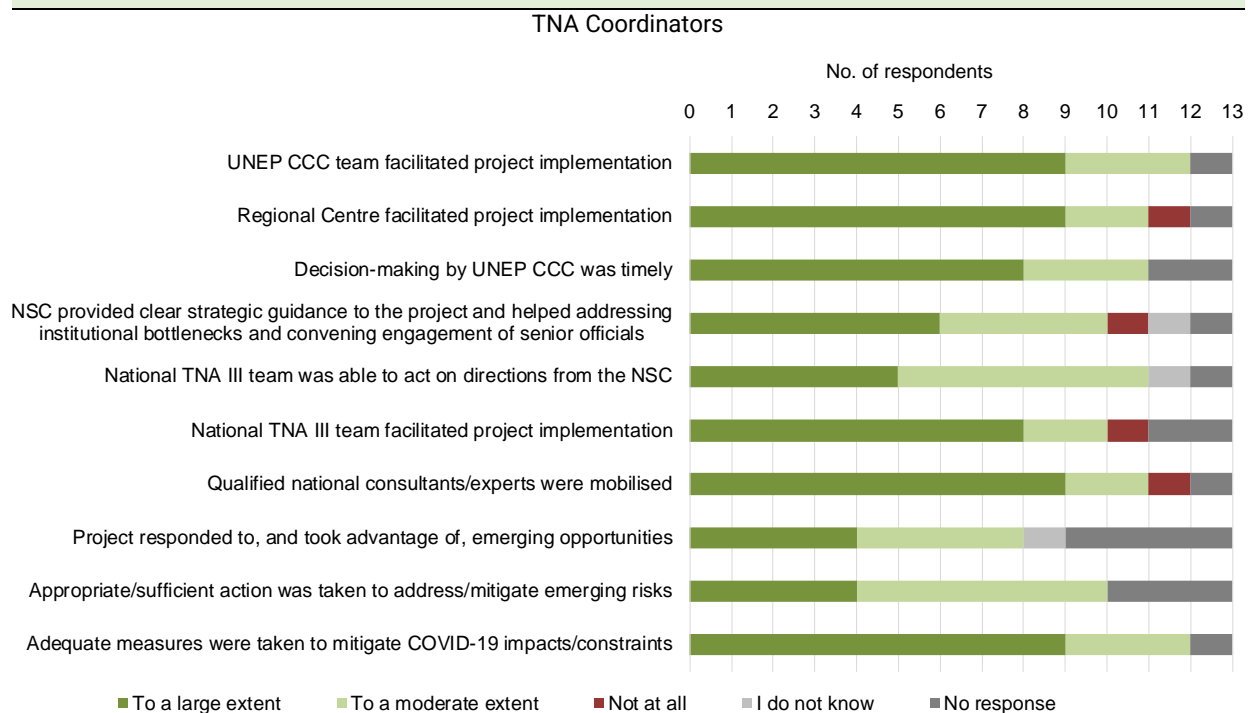
137. The management structure and processes were well established in previous TNA phases, and worked well, also benefitting from the overall arrangements for UNEP-UDP collaboration, and while the transition from UDP to UNEP-CCC caused some challenges and delays, the TNA project management structure and team itself was transferred, thereby maintaining continuity and capacity. The model of using regional centres to increased proximity of the support provided to the countries also worked well. The cooperation and communication between UNEP and UNEP-CCC, as well as UNEP-CCC and the regional centres was well-functioning, as was the oversight and support provided by UNEP. Overall, staff turnover at UNEP-CCC and UDP was low, and the project (as well as TNA IV) therefore benefitted from continuity and an experienced team very experienced with TNA

processes and the methodological toolbox and strong institutional memory. The national stakeholders in the participating countries widely appreciated the facilitation by UNEP-CCC and the regional centres, as well as the timeliness decision-making by UNEP-CCC (see figure 19).

138. Overall, project management and implementation adapted to the contextual challenges faced, such COVID-19 (embracing virtual means of interaction) and the transfer from UDP to UNEP-CCC. The status of risks was monitored by UNEP-CCC and reported on in HYPs and PIRs. The respondents found that the project to a large or moderate extent was able to respond to, and take advantage of, emerging opportunities, and to address emerging risks (see figure 19). In most countries, survey respondents found that the measures implemented (virtual trainings, workshops, and meetings) in response to COVID-19 were adequate (see figure 20). Nonetheless, in most countries, COVID-19 caused delays and meant that some activities (e.g. in-person trainings and meetings) could not be implemented (see figure 20). Moreover, in several countries, respondents found that some intended outputs could not be delivered.

Figure 19: Appropriateness and sufficiency of project management setup

Survey question 14: To what extent have TNA III's project management and supervision mechanisms and setup been effective?



Survey question 14: To what extent have TNA III's project management and supervision mechanisms and setup been effective?

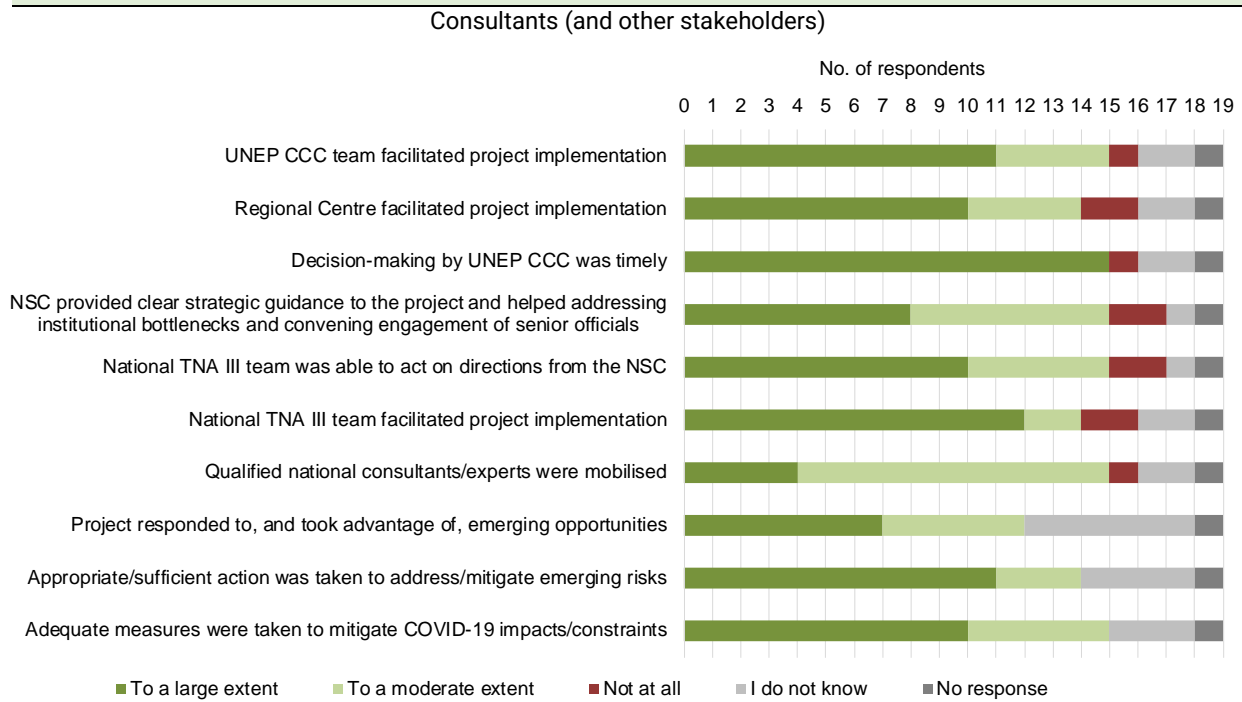
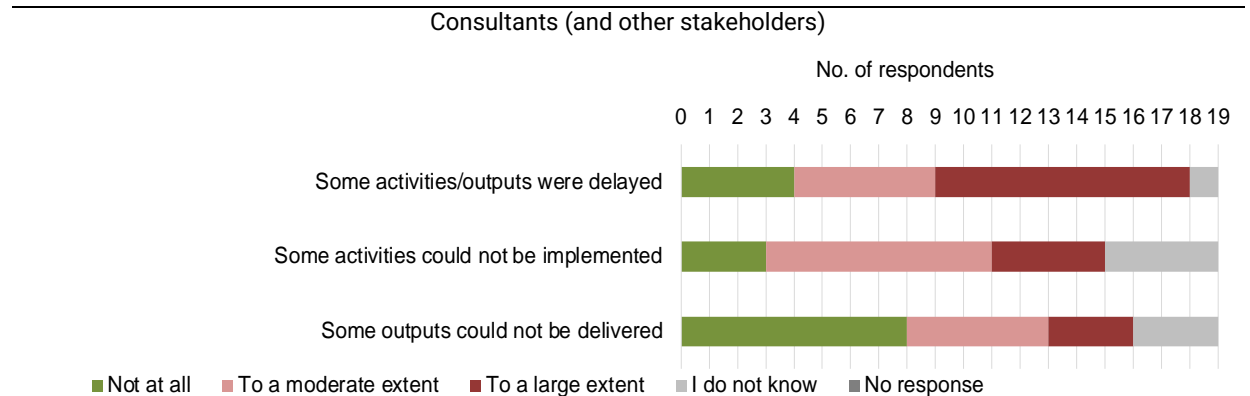
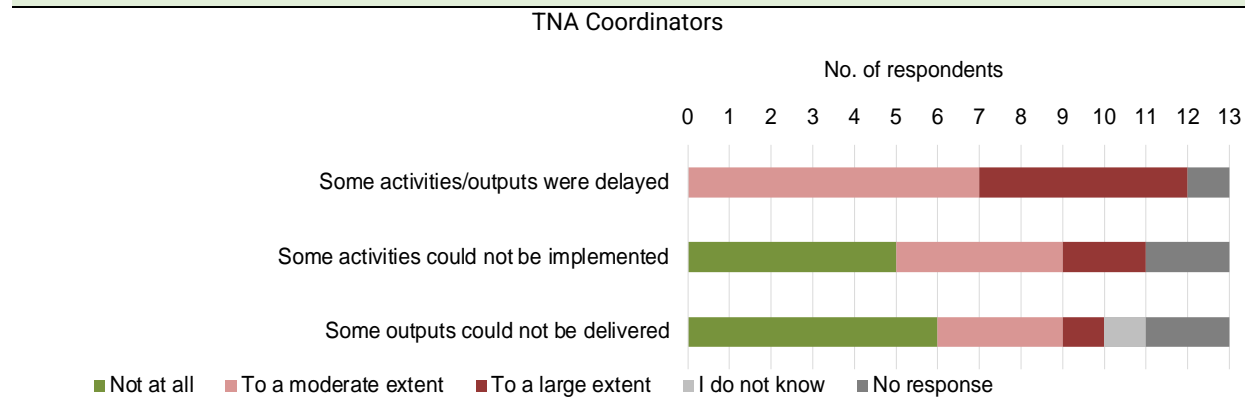


Figure 20: Impact of COVID-19 on TNA III implementation

Survey question 15: To what extent did COVID-19 impact the TNA process?



Rating for UNEP Quality of Project Management and Supervision: Satisfactory

Rating for UNEP-CCC Quality of Project Management and Supervision: Satisfactory

Overall rating for Quality of Project Management and Supervision: Satisfactory

G.2. Stakeholder Participation and Cooperation

139. Key global multilateral stakeholders in relation to climate change and technology, i.e. the UNFCCC Secretariat, the TEC, CTCN, the UNFCCC Secretariat, the GCF Secretariat, and the GEF Secretariat, were already engaged in TNA I and II, and their engagement has continued in TNA III and TNA IV. The engagement in the project was through membership in the PSC as well as in participation in TNA events and workshops, in particular at the global level (such as COP side events and workshops) but also in some regional workshops. Moreover, the TEC monitors and reports on TNA progress and status, CTCN provides request-based TNA-related support to countries, and the GCF, and more recently, the GEF encourages countries to link their funding requests to TNAs/TAPs in their formats. However, bilateral actors were not systematically involved in TNA III, although the UNEP-CCC team engaged in dialogue with bilateral donors.
140. A methodological guide for stakeholder mapping and engagement at the country level was made under TNA II: *"Identification and Engagement of Stakeholders in the TNA Process: A Guide for National TNA Teams. Guidance for stakeholder ID for TNAs, BAEFs and TAPs"*. This guide draws on lessons from phase I.
141. The approach promoted by the project was deliberately country driven, with the project typically being embedded in national structures (albeit with differences among the countries), coordinated by national government staff and documents elaborated by national consultants, and with key senior level stakeholders being included in NSCs, often using existing climate change committees as NSCs. Examples of this embedding include the use of existing climate change-related government committees as National Steering Committees (NSC) for the project and TNA and TAP processes, the selection of a relevant government entity for project management (e.g. the department responsible for NDCs or agency responsible for technology promotion), and the appointment of the National Designated Entity (NDE) for the UNFCCC Technology Mechanism as TNA Coordinator. While there were differences among the countries, most survey respondents found that the NSCs to a large extent or at least to some extent provided strategic guidance, helped addressing bottlenecks, and convened the engagement of senior officials; and that the national TNA teams were able to act on NSC directions (see figure 19). The majority of respondents found that the national TNA teams to a significant extent facilitated project implementation. Most responding national TNA Coordinators found that the national consultants were well qualified, but surprisingly, the responding consultants widely found that the consultants mobilised were moderately well qualified of the tasks.
142. Moreover, a consultative approach was taken with key stakeholders being engaged in thematic/sector working groups, which were led by key sector institutions, and which participated in consultations and training

workshops. Moreover, all countries provided in-kind co-financing for the project.

143. Countries widely report a good degree of engagement of government stakeholders in particular, and good or moderately good levels of engagement of private sector, civil society, and academic stakeholders (see figure 21). However, a number of national TNA team members reported that due to budget constraints, they could not engage as many stakeholders they would have liked to, in particular vis-à-vis engaging local level stakeholders from a sufficiently number of locations, thus geographic representativeness could not be fully ensured. Moreover, some stakeholders reported that private sector participation was insufficient. Overall, stakeholder ownership was often moderate, although a significant number of respondents also indicated a significant degree of stakeholder ownership (see figure 22). In a few countries, government ownership was seen as insufficient.

Figure 21: Level of national stakeholder engagement

Survey question 19: To what extent were key national stakeholders engaged in the TNA process and activities?

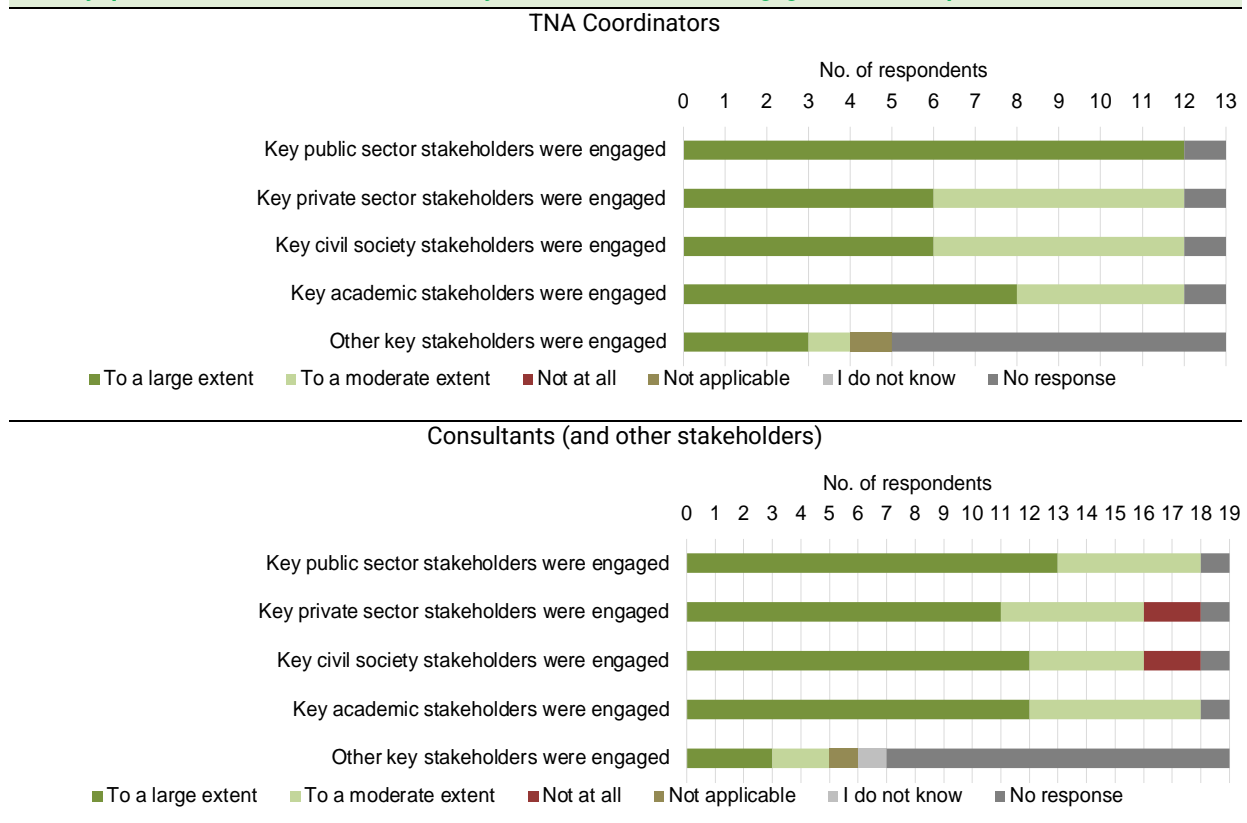
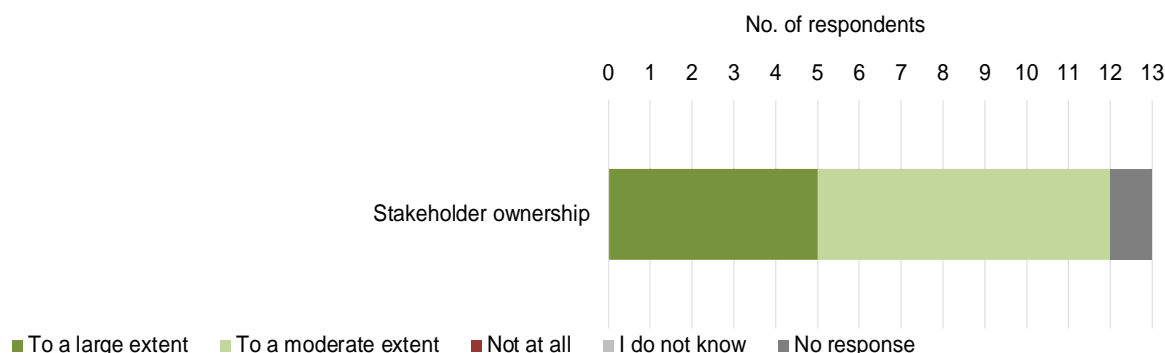


Figure 22: Level of national stakeholder ownership

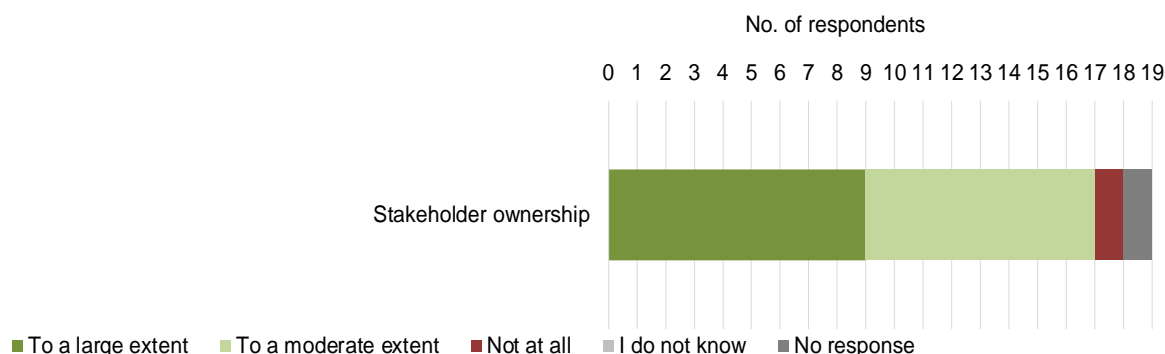
Survey question 20: To what extent did key national stakeholders own the TNA process and activities?

Survey question 20: To what extent did key national stakeholders own the TNA process and activities?

TNA Coordinators



Consultants (and other stakeholders)



Rating for Stakeholder Participation: Satisfactory

G.3. Responsiveness to Human Rights and Gender Equality

144. A gender lens was applied in TNA III, with budgeted gender activities and inputs from a gender expert. First and foremost, a guidebook “*Conducting a gender-responsive TNA*” was elaborated and published, an online training on gender was conducted, and in 2022, a briefing on gender in the TNA process was published. Moreover, gender was mainstreaming across the trainings conducted under the project, and countries were encouraged to ensure the participation of women in National Steering Committees, thematic working groups, workshops, and trainings. Some national stakeholders indicated that their countries already had gender policies in place, which were adhered to.

145. However, several consultants did not use the gender guidebook (see figure 23). Nonetheless, UNEP-CCC reported that 91 pct. of the countries integrated gender aspects in their adaptation TNAs, and 82 pct. in their mitigation TNAs. UNEP-CCC reported that 47 pct. of the countries integrated gender criteria in their prioritisation of technologies.

146. Six of the 22 countries had female TNA Coordinators, and six had gender-balanced consultant teams comprising both women and men. Technical working groups in a number of countries were gender balanced, including women, government entities dealing with gender affairs, and/or women’s groups. The project had a target of at least 30 pct. women among

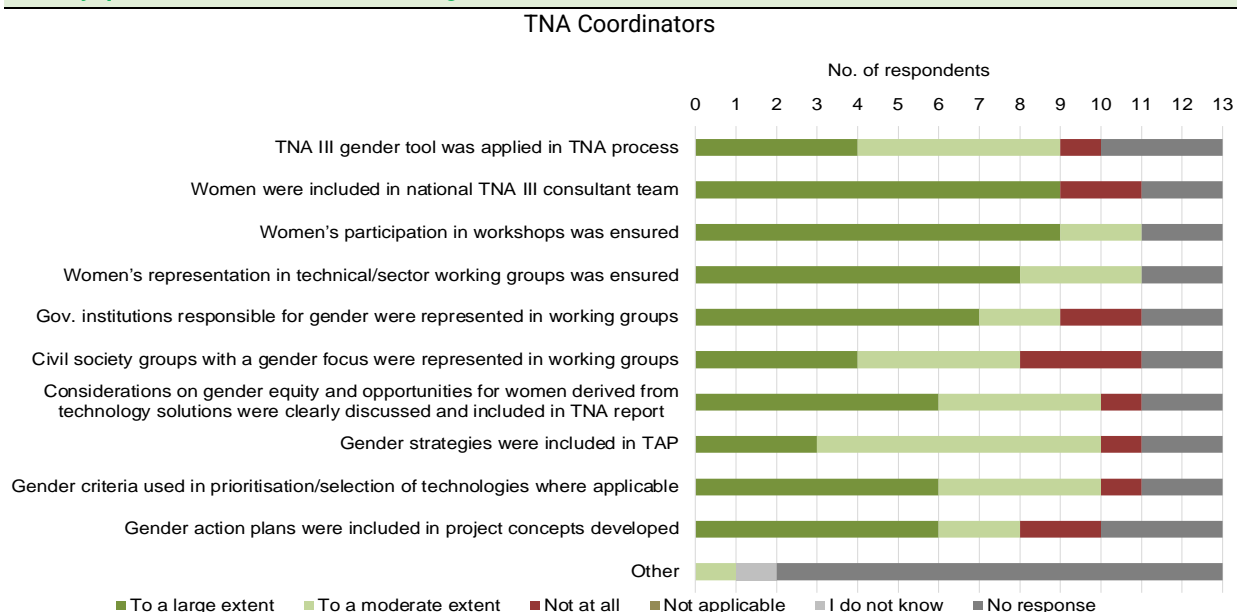
workshop participants. This target was reportedly met at the global level, albeit with significant regional differences, e.g. there was a good level of participation of women in the Caribbean, whereas all participants from Francophone countries were male.

147. At the project management side, women were well represented, several of the UNEP-CCC staff involved, including the project coordinator, were women, as was the majority of UNEP staff involved. The key staff at two of the five regional centres were women. While the project did not have gender disaggregated results indicators, gender was sufficiently covered in the progress reporting. However, apparently, no gender marker was assigned to the project, despite the project being approved after 2017.

148. Human rights aspects were not addressed in the project design, nor were they reflected in the progress reporting. In the TNA guidance material, human rights were mainly covered in the indigenous peoples guidebook developed under TNA IV and briefly touched upon in some of the other guides in relation to women’s rights. At the country level, the indigenous peoples guidebook was only applied to a modest degree (see figure 24) as the guide was published in 2021 when countries in general were quite advanced in their TNA process, and possibly also because many of the participating countries do not have significant populations of indigenous peoples. Similarly, the overall consideration given to human rights at the country level was modest. Nonetheless, the participatory approach applied, which also included the participation of civil society in a number of countries (see figure 21), was in practice contributing to giving people a voice and access to information.

Figure 23: Integration of gender and inclusion considerations in TNA III implementation

Survey question 16: To what extent was gender and inclusion addressed?



Survey question 16: To what extent was gender and inclusion addressed?

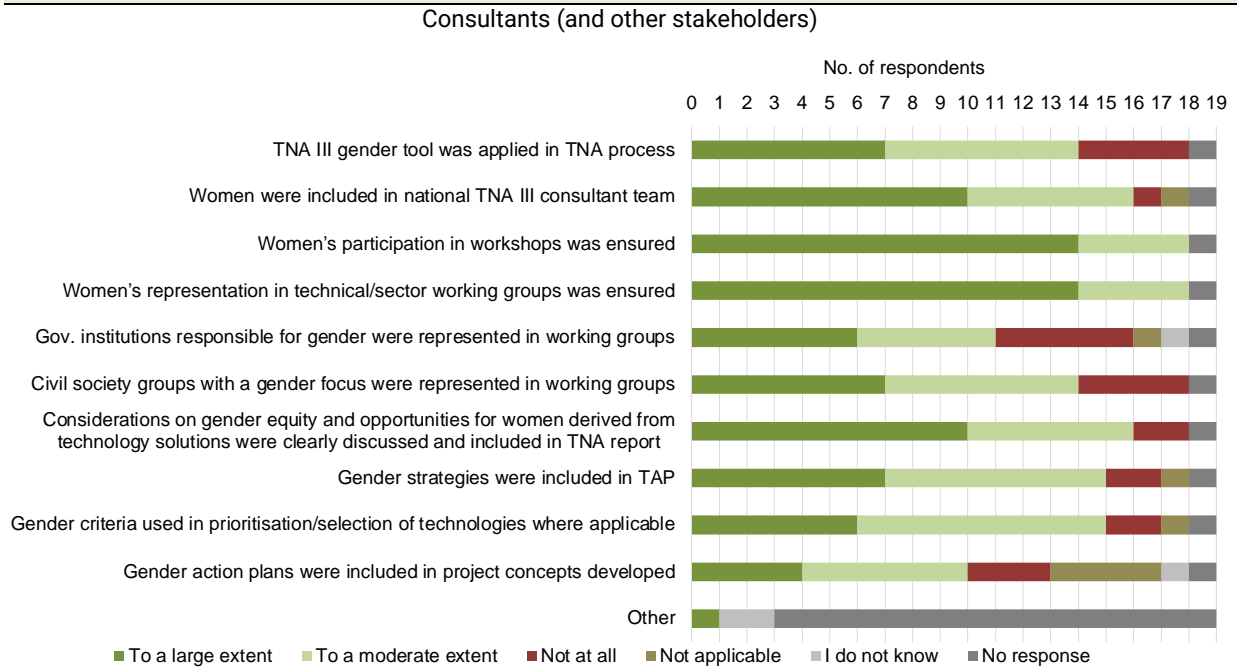
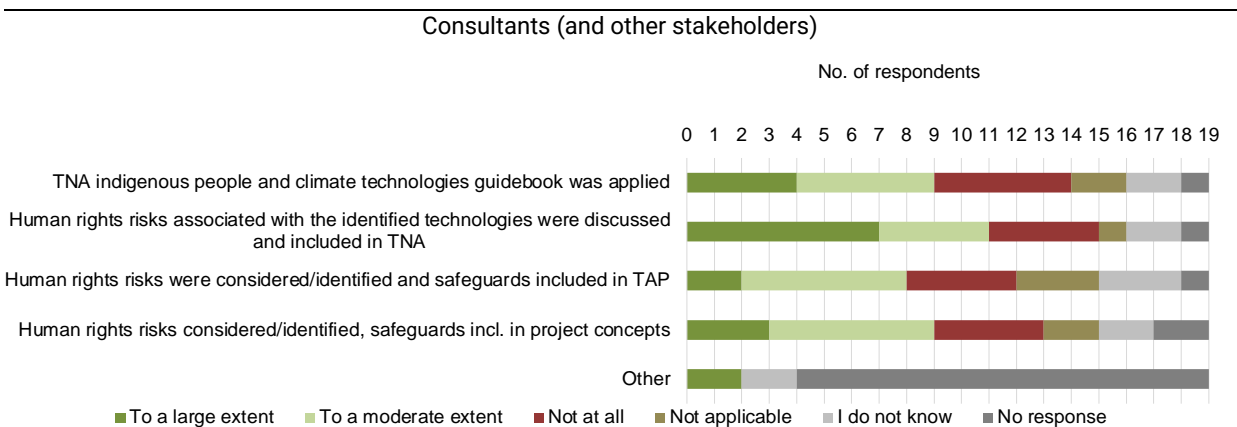
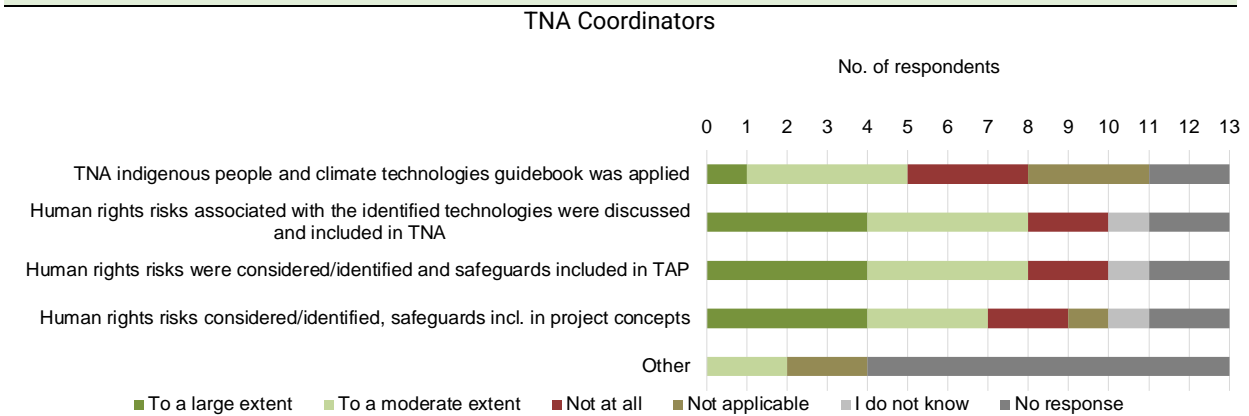


Figure 24: Integration of human rights considerations in TNA III implementation

Survey question 17: To what extent were human rights-related issues addressed in the TNA process?



Rating for Responsiveness to Human Rights and Gender Equality: Moderately satisfactory

G.4. Environmental and Social Safeguards

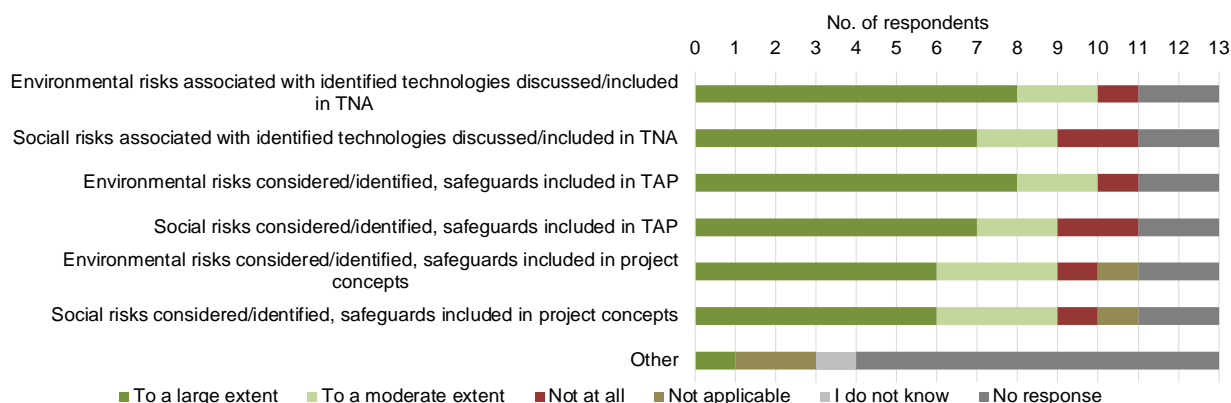
149. Given TNA III had an institutional focus and did not entail any on-the-ground investments in technology, no environmental or social risks were identified at design, during implementation, or by the TR. The project was thus rated as *“Negative impacts minimal or negligible: no further study or impact management required”*. The only direct negative environmental impact of the project was fossil energy consumption and carbon emissions related to: 1) air travel of UNEP-CCC and regional centre staff, 2) power consumption by servers and internet use (e.g. data uploads and downloads, online training and meetings), 3) road transport for data collection and to workshops and meetings, and 4) resource consumption and waste generation related to the use of computer equipment and office facilities. A significant number of trainings and meetings were conducted virtually, mainly due to COVID-19 restrictions, but nonetheless helped reducing the carbon footprint. There was thus no need for implementing any environmental or social safeguards or mitigation measures. The progress reports included information on the status vis-à-vis safeguards.
150. Nonetheless, in the participating countries, the promotion of a technology could have positive or negative environmental or social implications. The TNA step-by-step guide included reference to social and environmental criteria in a couple of tables with examples of assessment criteria. The TNA methodology encouraged the inclusion of environmental and social criteria in the prioritisation of technologies. A check of the TNAs, BAEFs, and TAPs for the case countries confirm that environmental and social benefits were included in the technology prioritisation criteria. However, the weight given to these criteria varied considerably, and given several other criteria were also included, there was thus an inherent risk that a technology with low scores on either environment or social benefits would still be prioritised, due to high scores on other criteria. Moreover, the definition of environmental and social criteria varied, as did the comprehensiveness vis-à-vis covering all major environmental or social aspects.
151. The TAP finance guide briefly referred to the need to integrate environmental and social safeguards in proposals to donors, but safeguards were not discussed in the step-by-step guide. According to survey respondents Environmental and social risks were in general taken on board in the elaboration of TNAs (see figure 25). However, negative environmental and social effects were not included in the technology prioritisation criteria in any of the TNAs checked by the TR, nor was any reference made to the application of safeguards to mitigate such risks. Similarly, most of the TAPs for the sample countries did not refer to environmental or social risks and safeguards (when reference was made to environment or social consideration, the focus was on the potential benefits).

Figure 25: Integration of environmental and social safeguard considerations in TNA III implementation

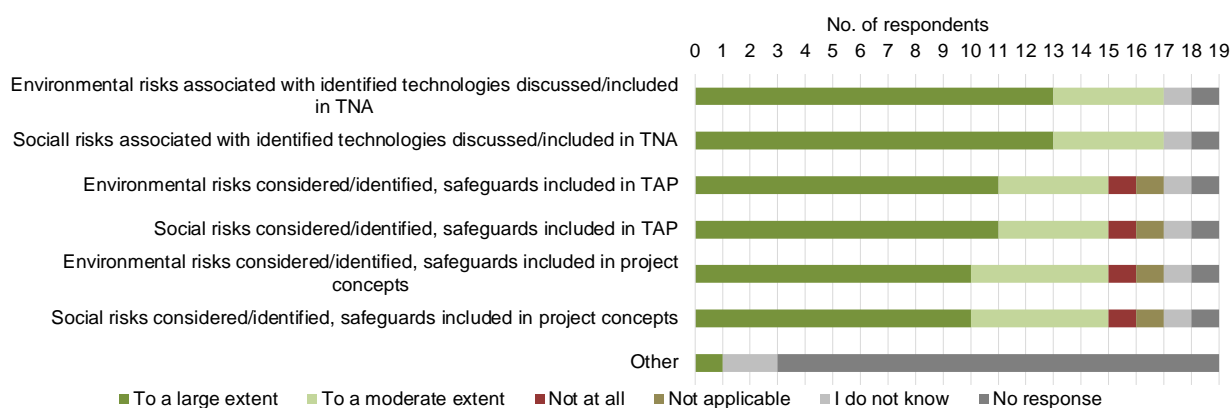
Survey question 18: To what extent were environmental and social safeguards considered in the TNA process?

Survey question 18: To what extent were environmental and social safeguards considered in the TNA process?

TNA Coordinators



Consultants (and other stakeholders)



Rating for Environmental and Social Safeguards: Moderately unsatisfactory

G.5. Country Ownership and Driven-ness

152. As described earlier, the extent to which the NSCs were effectively providing strategic direction and helped addressing bottlenecks varied among the countries. The TNAs, BAEFs, and TAPs were in general endorsed by the participating governments (or are in the process of being endorsed), and the governments in 18 countries provided signed letters of intent to UNEP-CCC. However, high-level government ownership appears to have varied considerably among the countries. So far, governments only to a modest extent translated policy briefs into action, and only few countries made significant steps towards facilitating technology transfer and diffusion, although such effects may yet appear (see figure 12). All countries provided in-kind co-financing as required. A few interlocutors reported that the above-mentioned financial constraints vis-à-vis engaging sufficient number of stakeholders also posed a challenge vis-à-vis effective engagement with government decision-makers and ensuring their buy-in.

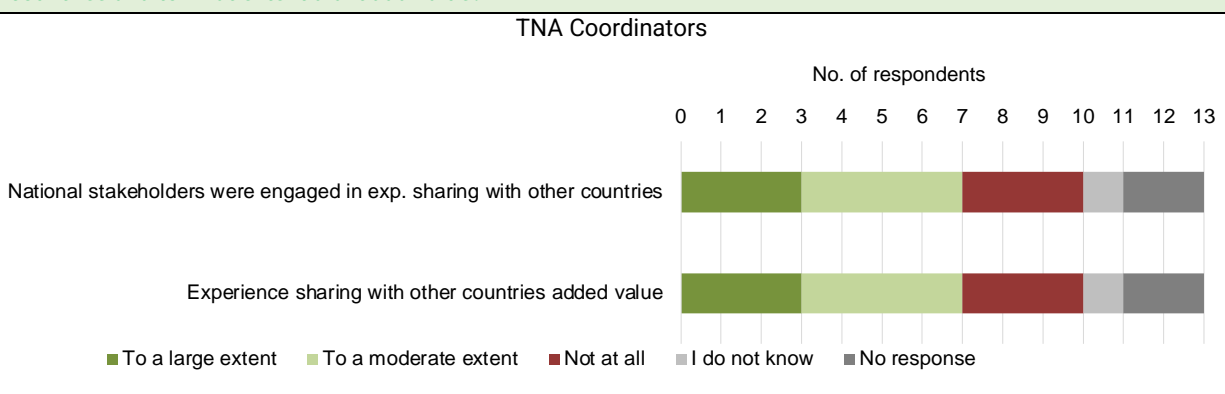
Rating for Country Ownership and Driven-ness: Moderately satisfactory

G.6. Communication and Public Awareness

153. Overall, there was a high degree of appreciation among the national stakeholders of UNEP-CCC's and the regional centres' facilitation of the project, including the lines of communication and responsiveness.
154. Stakeholders expressed an interest in peer-to-peer learning. Some peer learning did take place, i.e. at global and regional workshops, but due to COVID-19, the opportunities for peer learning were less than originally planned. Nonetheless, approximately half the survey respondents found that peer learning at least to a moderate extent added value (see figure 26). Some national stakeholders called for more opportunities for experience sharing among national TNA Coordinators and consultants.
155. There was no communication plan in the CEO endorsement request, but specific communication and outreach activities were planned under component 1 (global level) and component 2 (country level). A communications expert was part of the UNEP-CCC project management team.
156. At the global level, communication and outreach was done through side events at UNFCCC COPs and Subsidiary Body meetings, a global experience-sharing workshop, webinars, three brochures published jointly with the UNFCCC Secretariat, UNEP-CCC newsletters, and a dedicated TNA website hosted by UNEP-CCC. Moreover, the UNEP-CCC team was in dialogue with key global actors, which also participated in UNFCCC side events, the global workshop, and webinars. The guidebooks as well as written outputs from the participating countries and other project publications are publicly available on the website (<https://tech-action.unepccc.org/>). The website was visited by 10,473 users in 2022 and approx. 13,500 users in January-November 2023. Moreover, the UNFCCC website has a page on TNA (<https://unfccc.int/ttclear/tna>).
157. Eighteen countries prepared policy briefs (some countries prepared several briefs) and conducted roundtable events to communicate TNAs and TAPs to policymakers and donors. Survey respondents find that the visibility was good or moderately good at the country level (see figure 27).

Figure 26: Level and value of experience sharing among countries

Survey question 22: To what extent were national stakeholders engaged in experience sharing with other countries and to what extent did it add value?



Survey question 22: To what extent were national stakeholders engaged in experience sharing with other countries and to what extent did it add value?

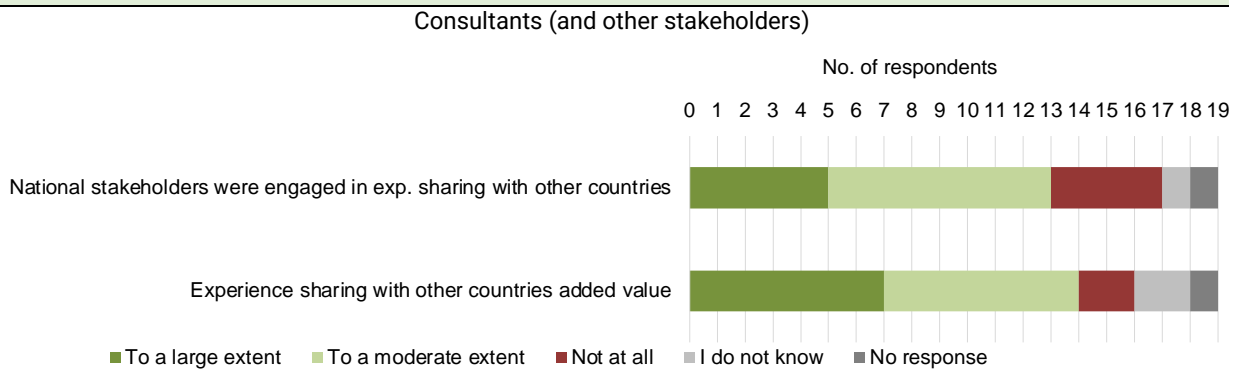
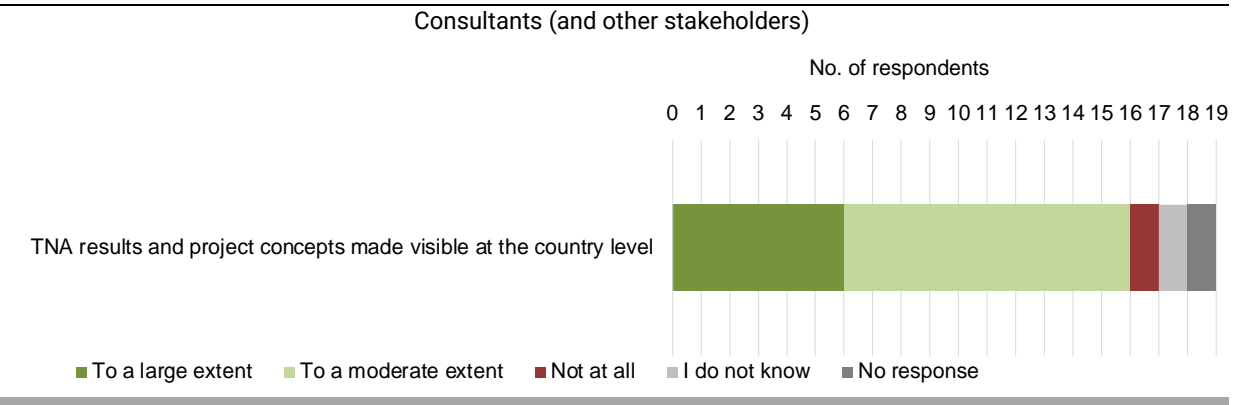
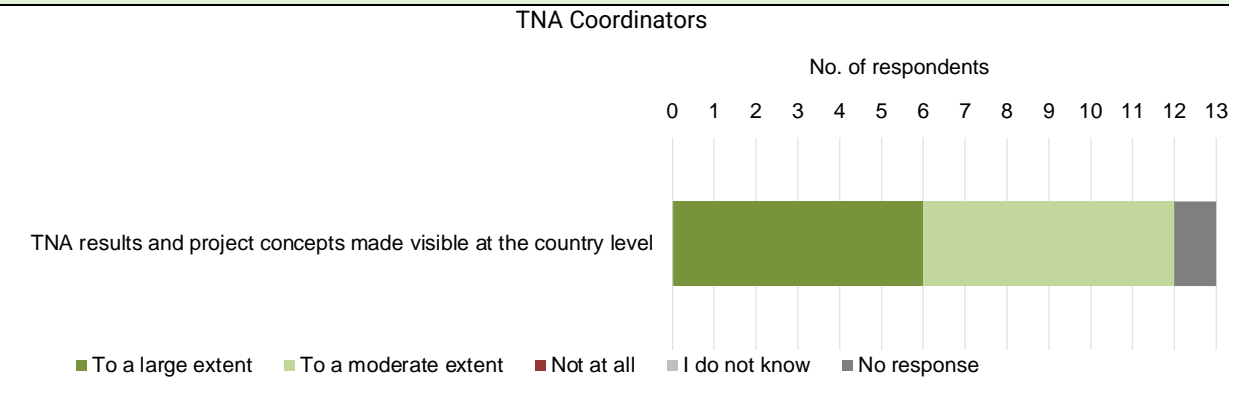


Figure 27: In-country visibility of TNA results

Survey question 23: To what extent were TNA results and/or project concepts made visible at country level?



Rating for Communication and Public Awareness: Satisfactory

Overall rating for Factors Affecting Performance and Cross-Cutting Issues: Satisfactory

VI. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

158. **Strengths:** TNA III responded to global UNFCCC decisions and national priorities related to the diffusion of technology solutions to mitigate carbon emissions and enhance resilience to the impacts of climate change, aiming at helping countries to identify their technology needs and priority actions and mobilise financing for the implementation of these. (See section V.A.1)
159. Being part of a longer-term initiative, the project benefitted significantly from a high degree of continuity, capitalising on well-established implementation structures, tested and proven approaches and methodologies that the project further refined, and experienced and skilled global and regional teams. National stakeholders widely appreciated the methodologies as well as the guidance, capacity development, and support provided by UNEP-CCC and the regional centres. As an internally executed project falling under the overall UNEP-DTU and later UNEP-UNOPS cooperation modalities, the project fully adhered to UNEP financial procedures and project management structures, processes, and communication worked well. With TNA IV currently implemented and TNA V being under development, global level continuity is ensured. (See sections V.A.2, V.B.1, V.C, V.F.1, V.G.1, and V.G.6)
160. A country-driven approach was applied, and the project was usually well-embedded in national structures and processes, such as providing inputs to NDC updating or building on the priorities established in the NDCs. As such, TNA and TAP have proved their value vis-à-vis a) providing useful information for NDCs and b) contributing to linking NDC priorities to financial support for implementation. National project steering and oversight was in a number of countries handled by existing climate change committees, and project management was usually housed in departments responsible for NDCs, technology, and/or being focal point for the UNFCCC Technology Mechanism. While there was variation among the countries, project management at the country level overall worked satisfactorily. National stakeholders have generally obtained technical capacity to update the TNAs, BAEFs and TAPs, or expand TNA and TAPs to other sectors. National level interlocutors report a good (albeit uneven) overall level of stakeholder participation and ownership, particularly among government stakeholders. (See sections V.A.2, V.B.2, V.D, V.F.1, V.F.2, V.G.1, V.G.2, and V.G.5)
161. The delivery of the intended outputs was high, despite almost all countries being LDCs or SIDS, and disruptions and significant delays caused by COVID-19, the institutional transition from UDP (housed by DTU) to UNEP-CCC (housed by UNOPS), as well as country-specific events and factors. Most countries delivered all outputs. All 22 countries completed their TNAs and BAEFs, 20 completed TAPs (as two countries fell under sanctions and could thus not complete the project), 17 elaborated concept notes, and 18 prepared policy briefs. (See sections V.B.1 and V.D)
162. It is too early to fully assess the project's outcomes in terms of influence on planning and policy and fund mobilisation, with most concept

notes not yet submitted to donors for funding. Nonetheless, national stakeholders report a moderate influence on climate change, development, and sector planning. Both the GCF and the GEF encourage countries to build on their TNAs and TAPs when developing proposals for funding. Moreover, key global actors, such as the UNFCCC Secretariat, the TEC, and CTCN were engaged in the project through PSC membership and participation in some global and regional activities. (See sections V.B.2, V.B.3, V.F.2, V.G.2)

163. Gender aspects were well addressed with the elaboration of a gender guidebook and a webinar on gender. Moreover, gender was integrated in capacity development activities, and countries were encouraged to address gender issues and ensure female participation. Most countries addressed gender in their TNAs. The overall target for female participation in workshops was met, albeit with variation among the countries. (See section V.G.3)
164. Environmental and social safeguards were not required for the implementation of the project, as there were no direct environmental or social risks. Environmental and social benefit criteria were generally included for technology prioritisation. Virtual workshops and meetings due to COVID-19 reduced the climate footprint of the project.
165. **Weaknesses:** The project was significantly delayed and extended by two years, but the causes of the delays were external factors outside the control of the project, i.e. COVID-19, the transition from UDP to UNEP-CCC, and various country-specific factors. Due to COVID-19 restrictions, the opportunities provided for peer-to-peer learning between countries were less than planned despite a keen interest from national TNA teams. (See section V.D and V.G.6)
166. Budget constraints limited the ability to engage all relevant stakeholders, especially of local level actors, but also of the private sector, which was not always sufficiently engaged. In a few countries, senior-level government ownership was insufficient. So far, few countries have made significant steps towards facilitating technology transfer and diffusion. Several countries chose to cover more than two sectors, stretching the limited resources available. TNA delivery took considerable time and resources, often leaving less than ideal amounts of time, energy, and resources for TAPs, concept notes, and policy briefs. (See section V.G.2 and V.G.5)
167. Given the general financial constraints facing LDCs and SIDS, and challenges with mobilising the private sector (especially for adaptation funding), TAP implementation, and thus also continued motivation of stakeholders, hinge entirely on accessing donor funding. However, available climate financing is far below the needs. Most concept notes targeted the GCF with little attention given to other donors, only two concept note targeted other donors, including one targeting the GEF. However, stakeholders report that GCF project proposal requirements and procedures are complex and challenging to meet. The concept notes in general only covered a single sector, and within that sector just 1-2 technologies, and thus not all the priorities and opportunities identified in the TNAs and actions in the TAPs. National stakeholders widely call for financial support or help to

access financing to enable them to implement their TAPs. Neither UNEP nor UNEP-CCC have any projects supporting countries to move from having concept notes and broader TAPs to securing financing and engaging in implementation. (See sections V.B.1, V.B.3, V.F.2, and V.G.2)

168. Only half the countries included gender criteria in the technology prioritisation. Human rights aspects were only covered to a limited extent in most countries. Moreover, the level of use of the gender guidebook varied. In the guidance material, human rights were mainly addressed in the indigenous peoples guidebook (2021) funded under TNA IV, but the guidebook was not widely used by the TNA III countries, as it came at a late stage. (See section V.G.3)

UNEP Evaluation Office Validation of Performance Ratings:

The UNEP Evaluation Office formally quality assesses (see Annex VIII) 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 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 consultant 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.

In this instance the Evaluation Office finds that the Report and validates the overall project performance rating at the '**Satisfactory**' level.

Table 9: Summary of project findings and ratings

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
Strategic Relevance		HS	The rating is validated.	HS
1. Alignment to UNEP's, donors' and Countries' (global, regional, sub-regional and national) strategic priorities	Fully aligned with: a) MTS, POW: <i>climate change</i> ; b) Bali Action Plan: <i>technology</i> support; c) GEF-6: <i>climate change mitigation</i> ; d) national climate change, development, sector priorities and policy frameworks.	HS	The rating is validated.	HS
2. Complementarity with relevant existing interventions/coherence	Methodology of TNA I+II built on, refined, and used in TNA IV+V. CTCN applies similar methodology in when it supports TNA processes, and also provides post-TNA follow-up TA for some TNA III countries. Synergy with other national processes in some countries. TNA website financed through UNEP-CCC's core support from Denmark.	S	The rating is validated.	S
Effectiveness		HS	This is an aggregation of the ratings against each sub-category.	S
1. Availability of outputs	TNAs and BAEFs were produced by all 22 countries (targets achieved). 20 countries completed mitigation TAPs, 19 completed adaptation TAPs. 17 countries completed concept notes. 18 countries completed mitigation policy briefs, 17 completed adaptation policy briefs. Methodology development and workshop targets achieved by UNEP-CCC and RCs. Good degree of satisfaction with support from UNEP-CCC and RCs.	HS	The rating is validated.	HS
2. Achievement of project outcomes	Too early to fully assess influence on planning. Moderate influence on climate change, development, and sector planning reported by most national stakeholders (in some cases significant influence). Most concept notes not yet (as of Oct 2023) submitted to donors.	S	The rating is validated.	S

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
3. Likelihood of impact	Too early to assess national policy influence and international influence, e.g. on donors. Too early to assess contribution towards fund mobilisation for technology transfer and diffusion, given most concept notes have not been submitted yet. Most concept notes targeted GCF, only one targeted GEF, and one targeted ERBD. Given the general financial constraints facing LDCs and SIDS, TAP implementation hinges on donor funding, but available climate financing is far below the needs.	MU	The project played a catalytic effect towards the impact and is therefore likely to contribute to the impacts. Although it does not have the impetus to make substantive changes on the proposed impacts, it's catalytic effect has the potential to make a substantive contribution. In this regard, the rating for likelihood of impact could change from moderately unlikely to moderately likely.	MS
Financial Management	No evidence of non-adherence to financial procedures. Timely and duly approved budget revisions. Transition from UDP to UNEP-CCC created some challenges. Disbursements to countries and consultants not always timely, due to a) issues with the recipient banks and account information, COVID-19, and the UDP-UNEP CCC transition. Stakeholders mostly satisfied with financial guidance. Up-to-date financial and co-financing information available. UNEP and UNEP-CCC staff aware of financial status, good communication between them.	S	The rating is validated.	S
Efficiency	2-year extension. Delays due to factors outside the control of the project: COVID-19, transition from UDP to UNEP-CCC, and domestic factors in the countries. Activities delayed, but fully delivered at global and regional levels and in most countries. Most countries achieved all 5 outputs. Spending was generally in line with the original budget. The project was embedded in government structures. Global and regional management and implementation setup from TNA I-II was utilised and benefitting from staff's TNA experience and institutional memory. Methodology from TNA I-II was used and refined. Several countries chose to cover more than two sector, stretching the limited resources available. TNA delivery took considerable time and resources, often leaving less time, energy, and resources for TAPs, concept notes, and policy briefs.	S	The rating is validated.	S
Monitoring and Reporting		S	The rating is validated.	S

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
1. Monitoring of project implementation	Measurable and appropriate output-level indicators, but not fully capturing outcomes. Monitoring data collected went beyond indicators, incl. collection and analysis of info on links to NDCs, CTCN, GEF, GCF, and donors/fund raising for concept notes –this was not reflected in progress reporting, but informed SC meetings and identification of bottleneck.	S	The rating is validated.	S
2. Project reporting	Comprehensive progress reporting capturing activities, outputs, gender, risk management, and lessons. However, higher level outcomes were not fully covered, although relevant information had been captured by the project monitoring.	S	The rating is validated.	S
Sustainability		MU	The rating is validated.	MU
1. Institutional sustainability	<p>UNEP, UNEP-CCC and regional centres have the capacity and commitment to continue supporting countries in TNA/TAP processes. TNA V is under development. But UNEP and UNEP-CCC do not have any projects to support countries after TNA III, e.g. vis-à-vis TAP implementation.</p> <p>National stakeholders have the capacity and are generally committed. TNA/TAP was often linked to national processes, e.g. NDC. Senior level government ownership appears uneven. So far, few have further invested TAP priority actions. Institutional sustainability hinges on access to external funding.</p>	MU	The rating is validated.	MU

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
2. Other dimensions of sustainability	<p>TNA/TAP recognised in UNFCCC context and can contribute to NDC preparation as well as towards technology selection and implementation of NDC priorities. GEF continues to fund TNA. GCF and GEF encourage use of TNAs and TAPs in proposals.</p> <p>Stakeholder buy-in at country level, but uneven high-level ownership. Continued motivation hinges on funding for TAP implementation. Difficulties in engaging the private sector. Financial sustainability is the biggest challenge for implementation of TAPs and concept notes, future updating of TNAs and TAPs, and replication of TNA /TAP in other sectors. Too early to assess financial sustainability for concept note and TAP implementation.</p>	MU	The rating is validated.	MU
Factors Affecting Performance		S	This is an aggregation of the ratings against each sub-category.	MS
1. Quality of project management and supervision		S	The rating is validated.	S
2.1 UNEP/Implementing Agency:	No issues found. Good communication and cooperation with UNEP-CCC. Well-functioning oversight and support.	S	The rating is validated.	S
2.2 Partners/Executing Agency:	The project benefitted from a well-established implementation structure at global and regional levels, and low staff-turnover, with experienced and well-qualified global and regional teams.	HS	The rating is validated.	S

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
2. Stakeholder participation and cooperation	<p>Key global multilateral stakeholders were engaged in PSC since previous phases and participated in some global and regional workshops/events. TEC monitors and reports on TNA status, CTCN supports countries in TNA, GCF and GEF encourage countries to use TNAs and TAPs in funding proposals. Bilateral actors not systematically involved.</p> <p>Guide on stakeholder engagement in TNA, BAEF, and TAP was available. Country-driven approach, project management embedded in existing structures, engaging key stakeholders in thematic working groups, consultation, and capacity development. The quality of project management appears to have varied among the countries but was overall satisfactory. Good engagement of government stakeholders, moderate to good engagement of other stakeholders, although private sector engagement not always sufficient. Budget constraints limited the engagement of local level stakeholders. Moderate to good stakeholder ownership, but in a few countries, government ownership was insufficient.</p>	S	The rating is validated.	S
3. Responsiveness to human rights and gender equality	<p>Gender aspects addressed with gender-focused activities, mainstreaming across activities, and encouraging countries to address gender issues and ensure female participation. Use by countries of the gender guidebook was uneven. Most countries addressed gender in TNAs, and half of them used gender criteria in the technology prioritisation.</p> <p>Female participation varied among countries, but overall female participation in workshops was 30%. TNA country teams were male dominated, whereas women were well represented in UNEP, UNEP-CCC, and regional centres.</p> <p>Human rights were mainly addressed in the indigenous peoples guidebook (2021) funded under TNA IV, but the guidebook was not widely used as it came at a late stage. Human rights aspects were only covered to a limited extent in most countries.</p>	MS	The rating is validated.	MS

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
4. Environmental and social safeguards	<p>No direct environmental or social risks of TNA III. Virtual workshops and meetings due to COVID-19 reduced the climate footprint.</p> <p>TNA step-by-step guide and TAP finance guide briefly referred to safeguards.</p> <p>Environmental and social benefit criteria were generally included for technology prioritisation in TNAs, but the comprehensiveness of the criteria varied, as did the weight they were given. Risks of negative effects and safeguards were generally not addressed in TNAs and TAPs.</p>	MU	The rating is validated.	MU
5. Country ownership and driven-ness	<p>Effectiveness of NSCs vis-à-vis providing strategic direction and addressing bottlenecks varied. TNAs, BAEFs, and TAPs were in general endorsed or in the process of being endorsed. 18 countries signed letters of intent. High-level government ownership varied considerably among countries. Policy briefs were only to a modest extent translated into action. So far, few countries made significant steps towards facilitating technology transfer and diffusion. All countries provided in-kind co-financing.</p>	MS	The rating is validated.	MS
6. Communication and public awareness	<p>Good communication between UNEP-CCC, regional centres, and countries. Peer learning not implemented to the planned extent due to COVID-19, but countries derived added value from learning from each other. No communication plan, but the UNEP-CCC team incl. a communication expert, and the results framework included global and country-level communication and outreach activities.</p> <p>Global communication done through side events at UNFCCC COPs and SB meetings, global experience-sharing workshop, webinars, 3 joint brochures with UNFCCC Sec., newsletters, and a well-visited TNA website. Key global actors participated in global events. 18 countries prepared policy brief and held roundtable events for policymakers and donors.</p>	S	The rating is validated.	S
Overall Project Performance Rating		S	The rating is validated.	S

C. Lessons learned

Lesson Learned #1:	Continuity and a long-term perspective enable better support and thus better results
Context/comment:	A unique feature of TNA III was that it was one phase of a long-term initiative, which started several years before TNA III and still continues. This long-term perspective allowed for a highly structured approach, and continuous development, testing, and refinement of the overall methodology and its specific elements. Moreover, TNA III and the participating countries benefitted significantly from well-established project delivery structures at the global and regional level, as well as from experienced global and regional teams with a long-term institutional memory. (See section VI.A, paragraph 161)
Lesson Learned #2:	Integrating project implementation and outputs in existing processes and structures enhances results and buy-in and thus adds value
Context/comment:	In most of the participating countries, TNA III implementation was embedded in national structures, e.g. with the national TNA Coordinator often also being the NDE, the project being housed at the department responsible for the NDC or with the agency response for technology transfer, and/or with existing national climate change committees serving as national TNA steering committees. Furthermore, the TNA process was usually linked to the NDC process, either providing inputs and information to the revision of NDCs or taking departure in priorities in the NDC and bringing them further towards implementation. (See section VI.A, paragraph 162)
Lesson Learned #3:	Country-driven processes and emphasis on stakeholder participation does not always ensure full government buy-in
Context/comment:	A key feature of TNA III was a country-driven approach with a strong emphasis on integration in national systems and on stakeholder participation. However, while stakeholder participation and ownership were generally good especially among government stakeholders, government ownership at the decision-making level was not always sufficient and few have so far taken significant steps towards facilitating technology transfer and diffusion. (See section VI.A, paragraph 162 and 168)

D. Recommendations

Recommendation #1:	Encourage and facilitate engagement with a broader range of donors and funding sources for concept note and TAP implementation. Possible actions include: <ul style="list-style-type: none"> - Mapping relevant donors, incl. bilateral donors and major philanthropies, at the global level - Adding to the TNA methodology mapping of relevant donors present at the country level - Encouraging countries to engage in dialogue relevant donors (with an in-country presence) as part of the TNA process, in particular in relation to the elaboration of TAPs and concept notes
Challenge/problem to be addressed by the recommendation:	Most concept notes targeted the GCF, whereas there was limited focus on other donors. However, while the GCF encourages the use of TNAs and TAPs when seeking GCF funding, accessing GCF funding can be complex. Considering the magnitude of funding needs for climate action, countries cannot depend on one donor alone for the diffusion of

	technology.
Priority Level:	Opportunity for improvement
Type of Recommendation	Project
Responsibility:	UNEP-CCC, UNEP
Proposed implementation time-frame:	May 2024 (TNA V)

171. Cross-reference(s) to rationale and supporting discussions:

- Section VI.A (paragraph 169)

Recommendation #2:	Strengthen the TNA and TAP methodology vis-à-vis human rights, social and environmental risks, and safeguards. Possible actions include: <ul style="list-style-type: none"> - Integrating in the guidelines tools for addressing human rights (applying a rights-based approach), social and environmental risks, and avoiding negative effects - Assessing as part of the draft document review process, the extent to which human rights and social and environmental safeguards are adequately covered in TNAs and TAPs
Challenge/problem to be addressed by the recommendation:	Human rights issues were only briefly addressed in the TNA methodology (mainly in the indigenous peoples guidebook from TNA IV), and they were in general not addressed in the TNAs, BAEFs, and TAPs. Social and environmental safeguards were also only briefly addressed in the guidelines. Countries included social and environmental benefits as technology selection criteria, but they did consider the risks of negative effects of the technologies or the potential need for safeguards.
Priority Level:	Critical recommendation
Type of Recommendation	Project
Responsibility:	UNEP-CCC, UNEP
Proposed implementation time-frame:	6-12 months (TNA V)

172. Cross-reference(s) to rationale and supporting discussions:

- Section VI.A (paragraph 170 and 171)

Recommendation #3:	In TNA V, engage more comprehensively in the focal sectors and focus on strengthening country capacities to develop TAPs and concept notes and to mobilise financing for their implementation. Possible actions include: <ul style="list-style-type: none"> - Introducing a ceiling on the number of sectors that can be covered with global set-aside funding (e.g. one mitigation sector and one adaptation sector) – encourage countries to mobilise cash co-financing (e.g. from their STAR allocation) to cover the costs of any additional sectors - Encouraging countries to focus on a small number of high potential technologies (e.g. 1-2 technologies) per sector in their TAPs - Increase the fund allocation per country – if necessary, reduce the number of countries supported with global set-aside funding
Challenge/problem to be addressed by the recommendation:	Due to funding constraints, countries often faced difficulties vis-à-vis engaging all relevant stakeholders. Furthermore, considerable time and resources were spent on TNAs and BAEFs at the expense of TAP and concept note elaboration. Moreover, it was not possible for the countries to prepare concept notes for all the sectors which they had prepared TNAs, BAEFs, and TAPs.

Priority Level:	Opportunity for improvement
Type of Recommendation	Partner
Responsibility:	UNEP and UNEP-CCC in dialogue with the GEF Secretariat
Proposed implementation time-frame:	6-24 months (TNA V, TNA IV)

173. Cross-reference(s) to rationale and supporting discussions:

- Section VI.A (paragraph 169)

Recommendation #4:	<p>Develop a partnership-based initiative for follow-on support for facilitating funding of TAP implementation.</p> <p>Possible actions include:</p> <ul style="list-style-type: none"> - Seeking buy-in from the GEF and/or GCF to financially support a follow-on initiative - Seeking buy-in from CTCN and the TEC to participate in a partnership-based follow-on initiative - Defining the scope and focus of the follow-on initiative – possible components include: <ul style="list-style-type: none"> o Support for the process of getting donor buy-in and approval of concept notes developed with support from TNA III and the elaboration of full project proposals (as well as other TNA phases) o Support for the development and donor buy-in and approval of further concept notes and project proposals based on TAPs o Provision of financial expert advice for countries o Advocacy and dialogue with relevant donors (incl. bilateral donors and large philanthropies) at the global level vis-à-vis support for TAP implementation technology transfer o Facilitation of new partnerships for North-South and South-South technology transfer - Integrating TNAs and TAPs in UNEP’s preparation process for full-scale projects as GCF and GEF accredited entity. - Advocating in partnership with other stakeholders for the integration of TNA and TAP as a standard element of NDCs and NAPs
Challenge/problem to be addressed by the recommendation:	<p>With the financial constraints facing governments of LDCs and SIDS, access to donor financing is essential for achieving tangible outcomes and impacts of the supported provided by TNA III. It is too early to assess whether the concept notes development with TNA III support will lead to funded projects. However, even the concept notes attract financing, they do not cover all sectors or priority actions in the TAPs. Country stakeholders widely ask for financial support or support to mobilise financing.</p>
Priority Level:	Opportunity for improvement
Type of Recommendation	Partner
Responsibility:	UNEP-CCC in dialogue and cooperation with UNEP, CTCN, TEC, GEF Secretariat, GCF Secretariat
Proposed implementation time-frame:	12-24 months

174. Cross-reference(s) to rationale and supporting discussions:

- Section VI.A (paragraph 162, 170, and 171)

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

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

Page Ref	Stakeholder comment	Reviewer Response
Comments received on the first draft TR report (15 February 2024)		
	<p>I seem to be missing a short description of methodology used, and general response rates. I am unable to know, who participated in oral interviews, questionnaires, etc at a glance. This isn't very clear under the stakeholders section too. Can this be presented in a more concise manner,/format to bring out the high response rate obtained?</p> <p>On methodology - <i>Just a thought. Are you able to cluster the respondents description (Para 18 & 19) into -</i></p> <ul style="list-style-type: none"> • TNA country involvement (which I believe was the highest = through online survey + remote interviews) & their general response rates • AND then provide additional information on 'Other stakeholders' • I believe taking this approach will place more emphasis on country-engagement in the review - which I found to be a key success in this review 	<p>The full list of people interviewed is provided in annex II. Table 2 provides an overview of the types and numbers of people interviewed (the table is a standard format form the evaluation office). The text also indicates the number and type of survey respondents – but since they were promised anonymity, we cannot provide a list with the names or countries of the survey respondents.</p> <p>We did not use questionnaires for the interviews, the discussions were guided by the evaluation matrix, which is provided in Annex V. There were only 2 “other stakeholders”, both wee national stakeholders, we were unsure how to classify them as they were neither formal THA coordinators nor consultants.</p> <p>The text has been adjusted. Table 2 has been revised, regional centres and national stakeholders have been separated.</p>
Sec. II, para. 43, pg. 22	<p>I disagree with budget/time limitation indicated above- as that was the methodology we discussed and agreed would fit best. And of course, you had a very good response rate.</p> <p>We do acknowledge the pros and cons of all methods, and this text , + Para 25 gives examples of the cons... of methods used, and I agree with this limitations, indicated.</p> <p>Under Para 24 on Limitation. I don't agree that we had budget/time limitation, it indirectly implies that the TR was not good enough. In our view, and under the guidance of Evaluation team we found that sampling & virtual discussions would give a good representation. I particularly like the last part of that para 24 & para 25 - which highlight the cons of the methodology used.</p>	<p>In principle, there is always time and budget limitation for any evaluation and it is never possible to interact with every stakeholder. For example, it was beyond the means of this TR to interact with national sector stakeholders beyond the TNA teams.</p> <p>The statement has been deleted.</p>
Sec. II, para. 46, pg. 22	<p>On Para 27 on Audit: - I find this statement interesting.... <i>Similarly, the financial records of the regional centres and countries were not audited. This limits the ability of the TR to assess financial management and compliance with GEF procedures. It would be important for us to agree on how this is addressed, moving forward.</i></p>	<p>This is always the case for internally executed projects. UNEP's evaluation guidelines require an assessment of the adherence to financial rules and regulations, but the TR was not conducted by trained auditors or accountants, and it was beyond the scope and means of the</p>

Page Ref	Stakeholder comment	Reviewer Response
		TR to go through the individual expenses under the project. No change made.
Sec. V.A, para. 80, pg. 36	We will need to rephrase this. I understand the confusion, but the TNA is also considered EAs under the GEF Policy.	This text refers directly to the text in CEO Endorsement Request, which did not reflect that TNAs are considered EAs. No change made.
Sec. V.B.1, figure 7, pg. 41	The colours of the key in the second category are conflicting with the sequence you have been using above. Not at all has been dark red and to a large extent dark green. The mind is already conditioned to dark red from from the pervious one as not at all	Green colour represents positive responses, red colour negative responses. The positive responses are on the left side, the negative responses on the right side. This applies to all figures. No change made.
Sec. V.G.3, para. 150, pg. 65	I fully acknowledge the importance of human rights aspects, but I am a bit surprised that we are evaluated against how we adress it, as it has not come up before at any stages of the project implementation cycle. Going forward we will pay more attention to it. ...the human rights aspects, which no one else has raised before this point;	The UNEP standard review methodology and scoring matrix requires that the project's coverage of human rights is assessed. No change made.
Sec. V.G.4, para. 153, pg. 67	You raise an interesting comment - on assessment - at country level, during prioritization exercise - Para 135 which states that this is missing, even though most responses in Fig. 25 seem to indicate that they do it....to a large extent (clarify).	Survey respondents indicated that in their opinion safeguards were covered. However, safeguards were not considered or mentioned in any of the TNAs, BAEFs or TAPs checked by the TR. So it may be that the respondents were thinking of the inclusion of environmental and social indicators, when responding to the question. The text has been adjusted.
Sec. V.G.5, para. 154, pg. 68	I think this refelcts more on 'high level country ownership' compared to 'country ownership'. I do think there is a very high degree of ownership of the process, whereas in some cases high level commitment could be improved. Most reports have forewords from high level stakeholders. As also expressed in para 125	The "country ownership and driven-ness criterion in particular concerns high-level ownership. No change made.
Sec. VI.C, rec 4, pg. 82	As we will be required to monitor the implementation of the recommendations, some of the proposals are outside the control of UNEP and thus will be difficult to actualize them. Seeking and supporting donor buy-in and approval of concept notes seems like an unattainable recommendation on UNEPs side and lack of resources to do so. Is this to be applied to TNAIV/TNAV?	As per UNEP's evaluation/review methodology (16_TR GEF_EA_Recommendations Quality Guidance Note) a "partners" recommendation lies outside the project team's direct influence (as opposed to a "project" recommendation). The guidelines state for "partner" recommendations that: "In such a case, the Task Manager would need to pass on the recommendation, effectively/substantively, to the Partners (evidence would be an email; PowerPoint; meeting notes, etc.)." This applies to recommendation 3 and 4.

Page Ref	Stakeholder comment	Reviewer Response
		No change made.
Comments received on the second draft TR report (6 March 2024)		
General	It is well noted that support to Afghanistan and Myanmar was discontinued as of 2021. At the time of termination, the countries had not delivered on their final activities of policy briefs, concept notes, round table events and dissemination of results. It would be helpful if the Terminal Review elaborate a bit further on the resources spending for these two countries, and whether the disbursed but unspent resources were returned to UNEP.	The review team does not have information about this. Payments to countries were made upon deliverables, and no funds disbursed were unspent. The remaining balance will be reimbursed to the GEF. No change made.
French executive summary, para. 6, pg. 13	UN Environment maintenant... [PNUE]	UNEP changed its name to UN Environment some years ago, but it has since change back to UNEP. No change made.
French executive summary, para. 7, pg. 13	Un regard plus profond montrera que l'influence a été grande dans beaucoup de pays. Et ils le dissent. Je peux citer le Sénégal, la Cote d'Ivoire en tre autres.	This review specifically concerns TNA III, whereas Senegal and Cote d'Ivoire were supported in earlier phases. Moreover, this finding is derived from the survey responses and stakeholder interviews. No change made.
French executive summary, para. 9, pg. 14	Les notes conceptuelles et d'orientation ne sont apparues dans le processus qu'à partir de l'EBT III.	This review only concerns TNA III. No change made.
French executive summary, para. 11, pg. 14	Ceci est à nuance car dans l'EBT 1, nous avons à Enda avions prise n charge de procurer à une communauté un pluviomètre car c'était leur seul besoin pour gérer leur agriculture.	This review only concerns TNA III. No change made.
French executive summary, para. 14, pg. 15	La question du genre a commence à être prise en charge de manière effective avec des outils pendant la phase de l'EBT II.	This review only concerns TNA III. No change made.
French executive summary, para. 16, pg. 16	Et même du processus NAP.	Noted, but countries mainly referred to NDCs. NAPs are mentioned in the main report. No change made.
French executive summary, performance rating, pg. 17	Le fait d'avoir influence d'autres projets/processus/programmes est suffisant pour relever cette note. Un "très" ne serait pas de trop.	The overall rating is calculated based on the individual ratings, using the standard UNEP evaluation tools. As such, it cannot be changed. Moreover, the review team find the "satisfactory" overall rating appropriate. No change made.
French executive summary, recommendation	Mentionner les aspects des droits de l'homme de manière spécifique.	For details, pls. refer to the "recommendations" section. No change made.

Page Ref	Stakeholder comment	Reviewer Response
2, para. 27, pg. 17		
French executive summary, para. 30, pg. 17	????? expliquer à nous profanes	This is a standard text from UNEP's evaluation office, which they use in all evaluations and reviews. No change made.
Sec. V.F.1, V.F.2, pg. 56-58	The Moderately Unlikely rate for sustainability seems underrated to me. I find it contradicts the first lesson learnt and paragraph 135 which states a successful exit strategy. Please also notice the small typo after "implementation" in that paragraph	The first lesson concerns the continuity of TNA III as a phase of a donor (GEF) funded longer term global initiative, it does not concern the sustainability of the results achieved at the country level. Para. 135 (and other paragraphs) describe the dependency on donor funding for sustainability, i.e. for updating or replicating the TNAs, BAEFs, TAPs, as well as for funding the implementation of the TAPs and CNs. Para. 135 also describes that governments have not adopted TNAs and TAPs as standard procedures. Rating unchanged. Typo corrected.
Sec. 6.D, rec. 4, pg. 81	Recommendation 4. If you put the responsibility of many actors, then none end up taking responsibility. Maybe it can be put that it is for UNEP-CCC as lead, in consultation and follow up with these other actors. Also, there are many other actors that the UNEP-CCC could engage with to explore scale up and implementation of the TAPs, i.e. banks, GEF, GCF, etc. I think this recommendation should also have a focus on how TNA V can ensure this through project design.	UNEP CCC now put as lead – in dialogue and cooperation with the others. Recommendation 3 addresses what TNA V could do to ensure an increased likelihood of fund mobilisation. Recommendation 4 goes beyond the scope of TNA V. The review team proposes a new initiative to fill a gap after the TNA/TAP process has been completed, which the proposed initiative is intended to fill. It is not realistic to expect that TNA V with its time and resources constraints will be able to follow the TAPs and CNs all the way through to securing financing. Moreover, GEF Sec and GCF Sec already mentioned. Unclear which banks the comment refers to – is it multilateral development banks, such as WB, ADB, AfDB, IADB, EIB? Or is it commercial banks internationally and/or nationally?
Annex VI, pg. 98	It is not clear to what Annex VI "GEF Portal Questions" is referring to. Are these the comments raised during the CEO Endorsement phase of the project? Kindly clarify and update accordingly.	In a sense, it is a summary of the review findings. This is a standard annex required by the UNEP Evaluation Office. It is the review team's understanding that this information is required by the GEF Secretariat for use on the GEF website. No change made.

ANNEX II. PEOPLE CONSULTED DURING THE REVIEW

Table 11: People consulted during the Review

Organisation	Name	Position	Gender
GEF Climate Change Mitigation Unit of the Climate Change Division, UNEP	Suzanne Lekoyiet	Task Manager for Enabling Activities	Female
	Cicilia Magare	Senior Programme Management Assistant	Female
	Marcellus Buyela	Programme Management Assistant	Male
	Fatma Twahir	Fund Management Officer	Female
	Patricia Mwenya	Finance and Budget Assistant	Female
	Tania Daccarett Pinzás	Project Specialist	Female
Cities Unit of the Climate Change Division, UNEP	Jonathan Duwyn	Technical Adviser	Male
UNEP-CCC	Sara Trærup	Global Project Manager, Regional Coordinator for Africa	Female
	Subash Dhar	Regional Coordinator for Asia and the Pacific	Male
	Lindy Charlery	Regional Coordinator for Caribbean	Male
UNFCCC Secretariat	Vladimir Hecl	TNA focal point UNFCCC	Male
ENDA	Samba Fall	Regional centre representative	Male
	Libasse Ba	Regional centre representative	Male
UCT	Debbie Sparks	Regional centre representative	Female
UWI	Donovan Campbell	Regional centre representative	Male
AIT	Abdul Salam	Regional centre representative	Male
USP	Hilda Sakiti	Regional centre representative	Female
GEF Secretariat	Patricia Marcos Huidobro	TNA PSC member	Female
GCF	Hansol Park	TNA PSC member	Male
TEC	Suil Kang	TNA PSC member, TEC member	Male
CTCN	Rajiv Garg	TNA PSC member	Male
TEC	Stig Svenningsen	TNA PSC member, TEC chair)	Male
Ministry of Science, Technology and Innovation, Uganda	Maxwell Otim Onapa	TNA Coordinator	Male
Uganda	Deborah Kasule	Assistant TNA Coordinator	Female
Uganda	Sara Namirembe	Consultant	Female
Uganda	Adam Sebbit	Consultant	Male
Environmental Protection Agency of Liberia	Christopher Kabah	TNA Coordinator	Male
Liberia	E. Tennessee Wilson	Consultant	Male
Liberia	John Forkpa Kannah	Consultant	Male
Ministry of Environment, Fishery and Sustainable Development Chad	Mahamat Hassane Idriss	TNA Coordinator	Male
Ministry of Environment, Benin	Aminou Raphiou	TNA Coordinator	Male
Benin	Biao Mongazi	UNFCCC National Focal Point	Male
Benin	Aurelién Tossa	Consultant	Male
Prime Minister's Office, Fiji	Deepitika Chand	TNA Coordinator	Female
NIMOS, Suriname	Cedric Nelom	TNA Coordinator	Male
University of the West Indies (UWI), Jamaica	Donovan Campbell	University Staff	Male
Ministry of Planning, Trinidad & Tobago	Kishan Kumarsingh	TNA Coordinator	Male

ANNEX III. KEY DOCUMENTS CONSULTED

Project planning and reporting documents

- Project Identification Form. April 2016
- CEO Endorsement:
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 - Global Environment Facility: Appendix 1: CEO Endorsement Document. August 2016
 - Global Environment Facility: Letter: CEO endorsement of Full-sized Project. TNA Phase III. March 27, 2018
 - Global Environment Facility: Agency Notification on Amended FSP. (TNA Phase III). January 24, 2018
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 - GEF (n/a): Appendix 15. TNAIII - Project Workplan. Excel File
 - GEF (n/a): Appendix 16. TNAIII – Budget Revision. 1F. Excel File
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 - UNEP: United Nations Environment Programme Global Environment Facility Revision Sheet. TNA Phase III. Moldova. September 2021
- Project Revision 2:
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 - Personal Communication (2021): Letter regarding the Progression of the TNA Phase III Project. UNEP DTU Partnership. June 2021
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 - UNEP: United Nations Environment Programme Global Environment Facility Revision Sheet. TNA Phase III. Moldova. September 2022
- Project Revision 3:
 - GEF (n/a): TNA III: Budget Revision 3. Final

- Personal Communication: Letter regarding the Progression of the TNA Phase III Project. UNEP DTU Partnership. February 2022
- TNA III: Project Workplan. June 2022
- UNOPS: Project Information Sheet. TNA Phase III Project. 2022
- PSC and Executive Steering Committee meeting minutes, 2019-2023
- UNEP-CCC: Final Report. October 2023
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- UDP: UNEP Half yearly Progress Reports, 2018-2022
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- DTU: Appendix 14: Annual Co-finance Report. May 13, 2020
- UNEP: Quarterly Expenditure Reports. 2018-2022
- UNEP-CCC: Final financial report. March 2023
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- UNEP: Funds Transfer Remittance Advice – for cash advances from UNEP to UNEP-CCC. 2018-2023
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- Ernst & Young: Comfort letters on findings of independent audits of DTU. 2019-2021
- CTCN: Letter – Co-finance to TNA Phase III. June 2017
- Co-finance letters (letters of intent) from 22 countries. 2023
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- Grant Support Agreement between UNOPS and University of Cape Town (example). March 2023
- Terms of Reference for national TNA consultant (example). June 2022

Project outputs – Overall

- UNEP-CCC. TNA Website data – audience, downloads. 2022-2023
- UNEP-CCC: Database on TNA success stories. December 2022
- UNEP-CCC: Overall TNA database
- UNEP-CCC: Global country status, TNA III. October 2023
- University of Cape Town: Technology Needs Assessment Project Phase III – Final Regional Synthesis Report. March 2023

Project outputs work package 1: Tools and guidelines

- UDP: Guidance for a gender-responsive Technology Needs Assessment. 2018

- UNEP-CCC: Transformational Change Guidance for Technology Needs Assessment. 2022
- UDP: Organising the National Technology Needs Assessment (TNA) Process – An Explanatory Note. 3rd edition. 2018
- UDP: Finance Guide for Implementation of Technology Action Plans. September 2020
- UDP: Taxonomy of Climate Change Adaptation Technology, A guidebook for countries conducting a Technology Needs Assessment for Adaptation
- UDP: Financial and Cost Assessment Model (FICAM), User Guide
- UDP: Climate technologies in an urban context. 2021
- UDP: TNA Step by Step, A guidebook for countries conducting a Technology Needs Assessment and Action Plan. 2019

Project outputs work package 2: Publications

- UDP & UNFCCC Secretariat: Regional Technology Brief, Asia Pacific. 2020
- UDP & UNFCCC Secretariat: Regional Technology Brief, Latin America & the Caribbean. 2020
- UDP & UNFCCC Secretariat: Regional Technology Brief: Africa. 2020
- UDP & CTCN: Collaborative Brief on Taxonomy of Climate Change Adaptation Technology
- UDP& UNFCCC Secretariat: From Needs to Implementation: Stories from the Technology Needs Assessments. 2019, 2021, 2023

Project outputs work package 3: Country-level outputs

- TNA reports from Benin, Chad, Fiji, Liberia, Uganda, Suriname, Trinidad and Tobago
- BAEF reports from Benin, Chad, Uganda, Trinidad and Tobago
- TAPs from Benin, Chad, Liberia, Uganda
- Policy briefs from Benin, Chad, Uganda, Trinidad and Tobago
- UDP: Scaling up investment in climate technologies Pathways to realising technology development and transfer in support of the Paris Agreement. 2021
- UDP: Experience from Preparing Gender Responsive TNAs. March 2022

Previous reviews/evaluations

- UNEP & UNEP-CCC: The GEF-funded Technology Needs Assessment (TNA) Phase III Project. Mid Term Review. February 2020
- UNEP: Terminal Evaluation: UNEP/GEF Project – Technology Needs Assessment Phase 1. September 2016
- UNEP & UDP: Terminal Evaluation of the UN EP /GEF Project “Technology Needs Assessment Phase II”. April 2020
- UNEP & UNEP-CCC: The GEF-funded Technology Needs Assessment (TNA) Phase IV Project. Mid Term Review. March 2023
- TNA IV Global MTR. Portal Sections. August 2023

Reference documents

- UNFCCC TEC: Draft gap assessment of guidance on TNAs. September 2023
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- TNA IV CEO Endorsement:
 - GEF: Appendix 1: Gef-7 Request for Climate Change Enabling Activity. TNA Phase III. April 2020
 - GEF: Appendix 5: Project Supervision Plan. January 6, 2020.
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 - UDP: Annex I-2: Co-finance budget. January 2020
 - UDP: Annex L: Project Workplan and Deliverables. January 2020
 - Endorsement letters from 17 TNA IV countries. 2019
- UDP: Indigenous Peoples and Climate Technologies. 2021
- UNEP: Status of Implementation of the Technology Needs Assessment. June 2022. Survey responses from 11 TNA IV countries, June 2022
- UNEP: Medium Term Strategy 2018-2021. Report. May 2016
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- GEF: Survey for GEF Agencies. Update on technology transfer activities for GEF report to UNFCCC COP25. Poznan Program Survey. 2019
- GEF: Survey for GEF Agencies. Update on technology transfer activities for GEF report to UNFCCC COP26. Poznan Program Survey. 2020
- GEF: Survey for GEF Agencies. Update on FY21 technology transfer activities for the GEF report to COP26. Poznan Program Survey. 2021
- GEF: Survey for GEF Agencies. Update on FY22 technology transfer activities for the GEF report to COP27. Poznan Program Survey. 2022

ANNEX IV. PROJECT BUDGET AND EXPENDITURES

I. Table 12: Expenditure by component/outcome (as of 31 March 2023)

Component/sub-component/output	Estimated cost at design (USD)	Actual Cost/ expenditure (USD)	Expenditure ratio (actual/planned)
Component 1: personnel	1,362,216	1,845,956	136%
Component 1: sub-contracts – countries	3,036,000	2,797,551	92%
Component 1: sub-contracts – regional centres	582,590	533,626	92%
Component 1: training	645,680	372,645	68%
Component 1: total	5,626,486	5,613,426	100%
Evaluation	60,000	0	0%
Project management cost (PMC)	523,514	523,514	100%
Total	6,210,000	6,176,940	99%

ANNEX V. REVIEW MATRIX

No.	Evaluative questions	Indicators/criteria	Data sources
Strategic relevance			
1.	Was the project responding to UNEP and GEF strategies and priorities?	<ul style="list-style-type: none"> • Alignment with UNEP MTS and PoW, Bali Strategic Plan for Technology Support and Capacity Building (BSP) and South-South Cooperation (S-SC) • Alignment with GEF Climate Change Programme 	<ul style="list-style-type: none"> • CEO Endorsement Request • UNEP MTS, PoW, BSP, S-SC • GEF Climate Change Programme
2.	Was the project responding to needs of the participating Non-Annex I Parties vis-à-vis access to technology for climate action?	<ul style="list-style-type: none"> • Alignment with national and sector strategies and policies and priorities, e.g. as perceived by Non-Annex I Party representatives • Reasons for countries to changing their decision to participate in TNA III – deciding to leave the project 	<ul style="list-style-type: none"> • PIRs, HYPRs and final report • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with selected TNA III Coordinators • TR survey with national TNA III Coordinators
3.	Was the project and other interventions coherent and complementary?	<ul style="list-style-type: none"> • Coordination, cooperation and synergy between TNA III and the support provided to countries by the Climate Technology Centre and Network (CTCN) • Coordination and cooperation with other global initiatives implemented by UNEP and other agencies • Synergy with national projects in the TNA II countries supported by UNEP and others (e.g. enabling activities) 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with UNFCCC Secretariat staff • Interviews with CTCN staff • Interviews with selected TNA III Coordinators
Effectiveness			
<i>Availability of outputs</i>			
4.	Were the intended project outputs delivered?	<ul style="list-style-type: none"> • Level of achievement of the output and sub-outputs identified in the reconstructed ToC – incl. availability of finalised TNAs, BAEF reports, TAPs, project concepts, and advocacy papers • Level of achievement of the sub-output targets available in the original ToC • Users and participants express appreciation of the outputs and activities and their usefulness, incl. the quality and appropriateness of the TNAs, BAEF reports, TAPs, project concepts, policy briefs • Extent to which TNA III participation has enhanced in-country capacities vis-à-vis implementing TNA/TAP processes 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • Written products • Workshop reports • Surveys conducted by project • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders • TR survey with national TNA III Coordinators
<i>Achievement of outcomes</i>			

No.	Evaluative questions	Indicators/criteria	Data sources
5.	Were the intended project outcomes achieved?	<ul style="list-style-type: none"> • Level of achievement of the outcome identified in the reconstructed ToC – incl. stakeholder consensus and buy-in on the concrete actions (priority projects) for implementation vis-à-vis access to technology for climate action • Level of achievement of the targets for the outcome and objective indicators in the project's results framework 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • Surveys conducted by project • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders • TR survey with national TNA III Coordinators
<i>Likelihood of impact</i>			
6.	Was the project objective achieved?	<ul style="list-style-type: none"> • Evidence of a contribution made towards the intermediate states and impact identified in the reconstructed ToC – incl. contributions towards: <ul style="list-style-type: none"> - Integration of TNA/TAP results in national planning processes - Financial flows to the implementation of selected technologies (priority projects) - Policy changes to facilitate technology transfer and diffusion - International cooperation with the participating countries on technology transfer • Influence of the introduction of concept notes in TNA III on the likelihood of securing financing for TAP implementation • Contribution made by TNA III project results to other national processes and strategies, incl. NDC update, NAP, LTS • Extent to which TNA III capacity building has contributed to enhanced in-country capacities for other purposes than TNA/TAP processes 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • Surveys conducted by project • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with GEF Secretariat staff • Interviews with GCS Secretariat staff • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders • TR survey with national TNA III Coordinators
Financial management			

No.	Evaluative questions	Indicators/criteria	Data sources
7.	Were financial management and decisions appropriate and conducive for project delivery?	<ul style="list-style-type: none"> • Fund allocations and reallocations were clearly justified/explained • Financial resources were made available in a timely manner that did not cause implementation delays or implementation gaps • UNEP financial staff responsiveness to addressing and resolving financial issues • Communication between UNEP programme and financial staff • Adherence to UNEP financial procedures 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • PSC meeting minutes • Financial reports • Budgets • Budget amendments • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP finance staff • Interviews with UNEP-CCC TNA team • Interviews with PSC members • Interviews with selected TNA III Coordinators • TR survey with national TNA III Coordinators
8.	Has co-financing materialised as expected at project approval?	<ul style="list-style-type: none"> • Amount of co-funding mobilised from each anticipated source • Amount of co-funding leverage from other sources (in-cash and in-kind) 	<ul style="list-style-type: none"> • CEO Endorsement Request • Written products • Workshop reports • PSC meeting minutes • Financial reports • Co-finance confirmation statements/letters • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP finance staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with selected TNA III Coordinators
Efficiency			

No.	Evaluative questions	Indicators/criteria	Data sources
9.	Was the project implemented in a timely manner?	<ul style="list-style-type: none"> • Timeliness of activities, outputs and milestones vis-à-vis work plans • Corrective measures taken to mitigate delays • Annual spending compared to budgeted/planned spending overall and per output/sub-outputs • Justification and appropriateness of no-cost project extension • Cost implications of no-cost extension 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • PSC meeting minutes • Financial reports • Budgets • Budget amendments • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP finance staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with PSC members • Interviews with selected TNA III Coordinators • TR survey with national TNA III Coordinators
10.	Was the project implemented in a cost-effective manner?	<ul style="list-style-type: none"> • Actual vs. planned costs of outcomes, outputs, and sub-outputs • Number of outputs, sub-outputs and related activities delivered compared to original design • Measures taken to adjust and adapt budget and activities to actual costs • Extent to which co-financing was leveraged • Extent to which the project achieved economy of scale, cost-savings and/or was able to increase the level of activity and output through partnerships (e.g. joint activities and division of labour) and use of existing data and processes 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • PSC meeting minutes • Financial reports • Budgets • Budget amendments • Co-finance confirmation statements/letters • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP finance staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with selected TNA III Coordinators
Monitoring and reporting			
<i>Monitoring of project implementation</i>			
11.	Was the monitoring system sufficiently and in a timely manner capturing implementation progress and results?	<ul style="list-style-type: none"> • Appropriateness of the indicators (e.g. SMART) and sufficiency of their coverage of key project deliverables • Availability of clear indicator targets and milestones • Reliability and accuracy of baseline and monitoring data • Frequency and comprehensiveness of data gathering and analysis • Utilisation of pre-existing data sources • Gender-disaggregation of data (when appropriate) 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with selected TNA III Coordinators

No.	Evaluative questions	Indicators/criteria	Data sources
12.	Were risks monitored and reported on?	<ul style="list-style-type: none"> Risks identified in CEO Endorsement Request were regularly monitored and documented The list of risks was regularly updated Relevance, importance and comprehensiveness of the risks identified and accuracy of risk rating 	<ul style="list-style-type: none"> CEO Endorsement Request PIRs, HYPRs and final report MTR report PSC meeting minutes Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders
13.	Was project monitoring used as a management tool?	<ul style="list-style-type: none"> Tangible examples of monitoring data leading to changes/adjustments in project approach and implementation 	<ul style="list-style-type: none"> PIRs, HYPRs and final report PSC meeting minutes Interviews with PSC members Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team
<i>Project reporting</i>			
14.	Was project reporting timely and of adequate quality?	<ul style="list-style-type: none"> Timeliness of report submission Realism and accuracy of information in PIRs, HYPRs, and completion report Adherence to GEF and UNEP reporting requirements PIR ratings 	<ul style="list-style-type: none"> PIRs, HYPR and final report PSC meeting minutes Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with GEF Secretariat staff Interviews with PSC members Interviews with selected TNA III Coordinators TR survey with national TNA III Coordinators
Sustainability			
<i>Institutional sustainability</i>			
15.	Did the project implement a clear sustainability strategy?	<ul style="list-style-type: none"> Extent to which the project proactively influenced and utilised the impact drivers identified in the reconstructed ToC Extent to which the assumptions identified in the reconstructed ToC proved valid 	<ul style="list-style-type: none"> CEO Endorsement Request PIRs, HYPRs and final report MTR report Surveys conducted by project Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with CTCN staff Interviews with UNFCCC Secretariat staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders TR survey with national TNA III Coordinators

No.	Evaluative questions	Indicators/criteria	Data sources
16.	Have UNEP and UNEP-CCC internalised the project in their work?	<ul style="list-style-type: none"> Integration of TNA III lessons and approaches by UNEP and UNEP-CCC in other interventions, incl. TNA IV and TNA V UNEP and UNEP-CCC support for the implementation of the TAP and the priority projects identified in the TNA III countries, incl. the mobilisation of other development partners 	<ul style="list-style-type: none"> PIRs, HYPRs and final report PSC meeting minutes Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with CTCN staff Interviews with UNFCCC Secretariat staff Interviews with selected TNA III Coordinators TR survey with national TNA III Coordinators
17.	Have the governments in TNA III countries internalised the project in their work?	<ul style="list-style-type: none"> Evidence of governments investing in/implementing the completion of any outputs or sub-outputs that were not completed during the project Evidence of relevant government entities investing in/implementing the priority actions and projects identified in the TAPs 	<ul style="list-style-type: none"> PIRs, HYPRs and final report Written products Surveys conducted by project Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with CTCN staff Interviews with UNFCCC Secretariat staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders TR survey with national TNA III Coordinators
<i>Other dimensions of sustainability</i>			
18.	Are Non-Annex I Parties politically committed to implementing the TAPs?	<ul style="list-style-type: none"> Level of stakeholder awareness, ownership and commitment to TAP implementation Evidence of stakeholders outside government engaging in the implementation of the priority actions and projects identified in the TAPs Mobilisation of funding for the implementation of the TAPs and/or the completion of any unfinished TNA III outputs or sub-outputs 	<ul style="list-style-type: none"> PIRs, HYPRs and final report Surveys conducted by project Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with CTCN staff Interviews with UNFCCC Secretariat staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders TR survey with national TNA III Coordinators

No.	Evaluative questions	Indicators/criteria	Data sources
19.	Is the project being upscaled and replicated?	<ul style="list-style-type: none"> • Evidence of using/upscaling the TNA/TAP process in additional sectors in TNA III countries • Extent to which the project documented and disseminated lessons to promote upscaling and replication • Evidence of other countries or institutions applying TNA III approaches and lessons 	<ul style="list-style-type: none"> • PIRs, HYPRs and final report • Written products • Workshop reports • PSC meeting minutes • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with GEF Secretariat staff • Interviews with GCS Secretariat staff • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders • TR survey with national TNA III Coordinators
Factors and processes affecting project performance and cross-cutting issues			
<i>Quality of project management and supervision</i>			
20.	Was the project management setup conducive for implementation?	<ul style="list-style-type: none"> • The PSC and NSCs provided clear strategic guidance to the project and helped addressing institutional bottlenecks and convening engagement of senior officials • Capacity of TNA III teams in UNEP-CCC and the participating countries and their performance vis-à-vis acting on directions given by the PSC/NSCs and facilitating project implementation • Timeliness of decision-making • Clarity and responsiveness of communication, guidance and supervision between the implementing and executing agencies/functions 	<ul style="list-style-type: none"> • PIRs, HYPRs and final report • PSC meeting minutes • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with PSC members • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders (e.g. NSC members) • TR survey with national TNA III Coordinators
21.	Was adaptive management applied?	<ul style="list-style-type: none"> • Adaptive action taken to respond to opportunities and mitigate emerging risks • Measures taken to mitigate the impacts of COVID-19 related constraints – and the implications for project delivery/performance • Extent of implementation of recommendations from the MTR in the execution of TNA III • Extent of implementation of recommendations from the TRs of TNA I and TNA II in the design of TNA III 	<ul style="list-style-type: none"> • PIRs, HYPRs and final report • MTR report • PSC meeting minutes • MTR Report • TNA I+II TR Reports • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with PSC members • Interviews with selected TNA III Coordinators • TR survey with national TNA III Coordinators
<i>Stakeholder participation and cooperation</i>			

No.	Evaluative questions	Indicators/criteria	Data sources
22.	Did the project engage stakeholders in project implementation and management?	<ul style="list-style-type: none"> • Level of consultation/involvement of key stakeholders in the project design process for both global, regional, and national level activities and deliverables • Level and nature of involvement of key stakeholders on project oversight (e.g. PSC and NSC participation) • Level of consultation of stakeholders in the development of products • Level of cooperation and dialogue with key stakeholders • Level of political participation in TNA III – incl. differences between countries where the NDEs to UNFCCC were nominated as TNA Coordinators (17 countries) and countries where the nominated TNA Coordinators were other institutions (5 countries) • Level of private sector participation in TNA III – incl. differences between countries where the NDEs to UNFCCC were nominated as TNA Coordinators and countries where the nominated TNA Coordinators were other institutions 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • Workshop reports • PSC meeting minutes • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with CTCN staff • Interviews with UNFCCC Secretariat staff • Interviews with GEF Secretariat staff • Interviews with GCS Secretariat staff • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders • TR survey with national TNA III Coordinators
<i>Responsiveness to human rights and gender equity</i>			
23.	Did the project consider the inclusion of human rights and gender?	<ul style="list-style-type: none"> • Project activities and products addressing human rights and gender considerations in the context of technology and climate action (e.g. inclusion, safeguards) • Number of countries that have applied the gender tools and approaches made available by the project • Measures and approaches applied to encourage the participation of women in project management/oversight and activities • Engagement of women in the delivery of project activities, e.g. as experts, trainers, and workshop participants 	<ul style="list-style-type: none"> • CEO Endorsement Request • PIRs, HYPRs and final report • MTR report • Written products • Workshop reports • PSC meeting minutes • Interviews with UNEP GEF CCM Unit staff • Interviews with UNEP-CCC TNA team • Interviews with Regional Centre staff • Interviews with selected TNA III Coordinators • Interviews with selected national stakeholders • TR survey with national TNA III Coordinators
<i>Environmental and social safeguards</i>			

No.	Evaluative questions	Indicators/criteria	Data sources
24.	Were environmental risks mitigated?	<ul style="list-style-type: none"> Environmental and social safeguarding screening at project design Activities and products addressed environmental and social considerations in the context of technology and climate action (e.g. inclusion, safeguards) Steps taken to minimise or offset the project's environmental and carbon footprint (e.g. vis-à-vis air travel) 	<ul style="list-style-type: none"> CEO Endorsement Request PIRs, HYPRs and final report MTR report Written products Workshop reports PSC meeting minutes Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders TR survey with national TNA III Coordinators
<i>Country ownership and driven-ness</i>			
25.	Did the participating Non-Annex I Parties and key stakeholders have a degree of ownership of the TNA/TAP processes and outputs?	<ul style="list-style-type: none"> Level of high-level ownership and commitment to national TNA/TAP processes Level of high-level ownership endorsement and willingness to fund/implement the TAPs incl. the priority projects identified Level of interest in engaging in experience sharing with other countries 	<ul style="list-style-type: none"> PIRs, HYPRs and final report Workshop reports Surveys conducted by project PSC meeting minutes Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with CTCN staff Interviews with UNFCCC Secretariat staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders TR survey with national TNA III Coordinators
<i>Communication and public awareness</i>			
26.	Did the activities and outputs 2 ensure that the project and its services were visible and reached the intended audience?	<ul style="list-style-type: none"> Number of hits and downloads from web platforms Number of countries and individuals participating in global and regional workshops/events arranged by the project Communication of the project through various channels (e.g. UNFCCC COPs and intersessionals, and UNEP and UNEP-CCC websites and newsletters) 	<ul style="list-style-type: none"> Web traffic data PIRs, HYPRs and final report Written products Workshop reports Interviews with UNEP GEF CCM Unit staff Interviews with UNEP-CCC TNA team Interviews with Regional Centre staff Interviews with CTCN staff Interviews with UNFCCC Secretariat staff Interviews with selected TNA III Coordinators Interviews with selected national stakeholders

ANNEX VI. GEF PORTAL QUESTIONS

GEF portal inputs

Question: What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR?

Response: Key global stakeholders (UNFCCC Secretariat, TEC, GCF Secretariat, GEF Secretariat, CTCN) were members of the global Project Steering Committee and participated in UNFCCC COP side events and global workshops and some regional workshops. A country-driven approach was taken, with the project being embedded in national institutional structures and linking to national processes (e.g. NDC updating), implementation being led by national TNA Coordinators and national consultants. Participation of government stakeholders was good, but due to financial constraints, it proved challenging to engage local level stakeholders in some countries. It was also a challenge in some countries to engage the private sectors. Stakeholder ownership was generally good, but high-level government ownership varied among the countries. (Section V.G.2)

Question: What were the completed gender-responsive measures and, if applicable, actual gender result areas?

Response: A gender lens was applied in TNA III, with budgeted gender activities and inputs from a gender expert. Gender aspects were well addressed with the elaboration of a gender guidebook and a webinar on gender. Moreover, gender was integrated in capacity development activities, and countries were encouraged to address gender issues and ensure female participation. Most countries addressed gender in their TNAs. The overall target for female participation in workshops was met, albeit with variation among the countries. (Section V.G.3)

Question: What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed.

Response: TNAs are enabling activities, and given TNA III had an institutional focus and did not entail any on-the-ground investments in technology, no environmental or social risks were identified at design, during implementation, or by the TR. The project was thus rated as "*Negative impacts minimal or negligible: no further study or impact management required*". (Section V.G.4)

Question: What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions

Response: There was no communication plan in the CEO endorsement request, but specific communication and outreach activities were planned at the global and country levels. Global communication and outreach was done through side events at UNFCCC COPs and Subsidiary Body meetings, a global experience-sharing workshop, webinars, joint brochures with the UNFCCC Secretariat, UNEP-CCC newsletters, and a TNA website. Key global actors participated in the side events, the global workshop, and webinars. The guidebooks, written outputs from the participating countries, and other publications are publicly available on the website, which has been well-visited. The UNFCCC website also has a page on TNA. Eighteen countries prepared policy briefs and conducted roundtable events to communicate TNAs and TAPs to policymakers and donors. National stakeholders find that the visibility was good or moderately good. Some peer-to-peer learning did take place, i.e. at global and regional workshops, but due to COVID-19, the opportunities for peer learning were less than originally planned. Several national stakeholders found that peer learning to a moderate or a significant extent added value. (Section V.G.6)

Question: What are the main findings of the Terminal Review?

GEF portal inputs

Response: Being part of a longer-term initiative, the project benefitted from a high degree of continuity, capitalising on well-established implementation structures, methodologies that the project further refined, and experienced and skilled global and regional teams. National stakeholders widely appreciated the methodologies, capacity development, and support provided. Project management structures, processes, and communication worked well. Global level continuity is ensured with TNA IV and V.

The project was well-embedded in national structures and processes. TNA and TAP proved their value vis-à-vis a) providing useful information for NDCs and b) contributing to linking NDC priorities to financial support for implementation. Project management at the country level overall worked satisfactorily. There was a good level of stakeholder participation and ownership, particularly among government stakeholders, but in a few countries, senior-level government ownership was insufficient. Budget constraints limited the ability to engage all stakeholders, especially local level actors, but also the private sector. Several countries chose to cover more than two sectors, stretching the limited resources available. TNA delivery took considerable time and resources, often leaving less than ideal amounts of time, energy, and resources for TAPs, concept notes, and policy briefs.

Most countries delivered all outputs despite significant delays caused by external factors. While it is too early to fully assess the project's outcomes, a moderate influence on climate change, development, and sector planning was reported. So far, few countries have made significant steps towards facilitating technology transfer and diffusion. TNAs and TAPs enjoy international recognition. TAP implementation and continued motivation of stakeholders hinge entirely on accessing donor funding. Most concept notes targeted the GCF with little attention given to other donors. National stakeholders widely call for financial support or help to access financing for TAP implementation. Neither UNEP nor UNEP-CCC have any projects supporting countries to move from TAPs and concept notes to securing financing and engaging in implementation.

Gender aspects were well addressed at global and in several countries, and environmental and social benefit criteria were used in technology prioritisation. Human rights aspects were only covered to a limited extent, and risks of negative environmental and social effects of the different technologies were generally not included by countries in the prioritisation process.

Overall, the project performance is rated as '**Satisfactory**'.

(Section V.G.4)

ANNEX VII. BRIEF CVS OF THE REVIEWERS

Name: Kris Borring Prasada Rao

Profession	Partner and Board Member, PEMconsult
Nationality	Danish
Country experience	<ul style="list-style-type: none"> • Africa: Botswana, Djibouti, Ethiopia, Ghana, Kenya, Liberia, Madagascar, Malawi, Mali, Mauritius, Mozambique, Namibia, Nigeria, Rwanda, Senegal, South Africa, Tanzania, Uganda, Zambia, Zimbabwe • Americas: Argentina, Brazil, Costa Rica, USA • Asia: Afghanistan, Bangladesh, Bhutan, Cambodia, India, Indonesia, Iran, Kazakhstan, Kyrgyzstan, Lao PDR, Maldives, Myanmar, Nepal, Sri Lanka, Tajikistan, Thailand, the Philippines • Europe: Denmark, Italy, Lithuania, Poland
Education	<ul style="list-style-type: none"> • MSc Human Geography, University of Copenhagen, 1999 • BSc Geography, University of Copenhagen, 1997

Short biography

Mr Kris B. Prasada Rao is an independent evaluator. He holds an MSc in Human Geography and has more than 20 years of professional experience in climate change, natural resource management, environment, rural development, agriculture, and livelihoods. He has expertise in different aspects of climate change, including governance under the UNFCCC framework, adaptation and resilience, mitigation, and mainstreaming across sectors. He has worked in 42 countries, for a broad range of multilateral institutions including UNEP, UNDP, FAO and the European Union, bilateral donors, and NGOs. Kris B. Prasada Rao is a specialist in evaluation and has carried out numerous evaluations and reviews including complex strategic evaluations, global and regional multi-country programme evaluations, and in-country project evaluations. Moreover, he has hands-on programme and project implementation, management and oversight experience from positions with the Danish Committee for Aid to Afghan Refugees (DACAAR), Oxfam America, and IFAD. He has since 2011 been a partner and board member at PEMconsult (www.pem.dk).

Key specialties and capabilities cover:

- Natural resource management, environment, climate change, agriculture, water, rural development, livelihoods, poverty reduction
- Fragile states
- Evaluation and review
- Programme and project planning, implementation, monitoring, supervision
- Programme Manager, Team Leader: management and supervision of international and local programme staff and consultants

Selected assignments and experiences:

- Final evaluation of the project: "Next generation low carbon, climate resilient Eco-Village Development in South Asia" (EVD IV), Sri Lanka, Nepal, India. Client: DIB, 2023
- Final Evaluation (FE) of the UNDP-GCF project "Supporting vulnerable communities in Maldives to manage climate change-induced water shortages". *Team Leader*. Client: UNDP, 2023

- Independent final evaluation of the Integrated Tiger Habitat Conservation Programme (ITHCP) Phase I, Bangladesh, India, Nepal. *Team Leader*. Client: IUCN, 2022-2023
- Global evaluation of the EU's cooperation with the World Bank, Mozambique. Client: EC, 2022-2023
- Terminal evaluation of four UNEP-GEF Projects and terminal review of one project on capacity development for the implementation of multilateral environmental agreements (MEAs). *Team Leader*. Client: UNEP, 2022-2023
- Terminal Review of the UNDP-UNEP-GEF project "Global Support Programme for Preparation of National Communications and Biennial Update Reports of non-Annex I Parties under the UNFCCC". Client: UNEP/UNOPS, 2022
- Evaluation of the EU cooperation with the United Nations. Client: EC, 2021-2022
- Final evaluation of FAO-GEF project Participatory assessment of land degradation and sustainable land management in grassland and pastoral areas systems. *Team Leader*. Client: FAO, 2021
- Review of the Climate Grant from the Danish Climate Envelope for civil society climate action. Client: CISU, 2021
- Review of the DOF BirdLife Denmark programme Integrating Livelihoods and Conservation – People Partner with Nature for Sustainable Living phase II, Nepal, Kenya, Uganda. *Team Leader*. Client: CISU, 2021
- Terminal Evaluation: Development of Sustainable Renewable Energy Power Generation (SREPGen), Bangladesh, UNDP-GEF project. *Team Leader*. Client: UNDP, 2020-2021
- Terminal evaluation of UNEP-UNDP GEF CBIT GCP (Capacity Building in Transparency Global Coordination Platform) phase 1. Client: UNEP+UNDP, 2020-2021
- Evaluation of the Danish Support for Climate Change Adaptation in Developing Countries. Client: Danida, 2019-2020
- Project evaluations and results-based framework development for future monitoring and evaluation - the Low Emission Capacity Building (LECB) Programme, the EU-INDC (Intended Nationally Determined Contribution for the UNFCCC) Project, NDC (Nationally Determined Contribution for the UNFCCC) Support Programme. *Team Leader*. Client: UNDP, 2019-2020
- Evaluation of the European Union's co-operation with Myanmar, 2012-2017. *Team Leader*. Client: EC, 2018-2020
- Terminal Evaluation of the UNEP-EC DG Environment Strategic Cooperation Agreement (SCA). *Team Leader*. Client: UNEP, 2019-2020
- End reviews of EAMCEF II (Conservation and Restoration of the Eastern Arc Mountains) and ECOPRC (Empowering Communities Through Training on Participatory Forest Management, REDD and Climate Changes), Tanzania. *Team Leader*. Client Embassy of Norway, 2019
- Joint Nordic Evaluation of the Nordic Development Fund (NDF). Client: Particip for NDF, 2019
- Mid-Term Review of the Indicative Cooperation Programme (ICP IV) 2016-2020 between the Grand Duchy of Luxembourg and Lao PDR. Client: Luxembourg Ministry of Foreign and European Affairs, 2018-2019

- Midterm Review of the UNDP-UNEP-GEF project “Global Support Programme for Preparation of National Communications and Biennial Update Reports of non-Annex I Parties under the UNFCCC”. Client: UNDP, 2018
- Evaluation of the European Union's co-operation with Afghanistan, 2007-2016. *Team Leader*. Client: EC, 2016-2018
- Evaluation of the European Union's sustainable energy cooperation (2011-2016). Client: EC, 2017
- Mid-Term Review of the UNDP-GEF project: Establishing integrated models for protected areas and their co-management in Afghanistan. *Team Leader*. Client: UNDP, 2017
- Evaluation of the European Union's co-operation with the Region of Eastern Africa, Southern Africa and the Indian Ocean, 2008-2015. Client: EC, 2016-2017
- Mid-Term Evaluation of the UNEP project "Building Adaptive Capacity and Resilience to Climate Change in Afghanistan 2014-2018", funded by the GEF (Global Environment Facility). *Team Leader*. Client: UNEP, 2016
- Global evaluation of EU's Water Facility. Client: EC, 2016
- Evaluation of the European Union's co-operation with Central Asia. *Team Leader*. Client: EC, 2015-2016
- Mid Term Review of the EU funded Project: "Sustaining biodiversity, environmental and social benefits in the Protected Areas of the Eastern Plains Landscape of Cambodia". Client: WWF, 2016
- Global Mid-Term Evaluation of the EU funded Low Emission Capacity Building (LECB) Programme. *Team Leader*. UNDP, 2015
- Evaluation of Swedish (SMHI) International Training Programs (ITP); Climate Change - Mitigation and Adaptation 2007-2011. Sida, 2015
- Evaluation of the development cooperation of Denmark, Sweden and the European Union with Bangladesh. Client: EC, 2015
- Evaluation of the European Union's support to environment and climate change in third countries (2007-2013). Client: EC, 2014-2015
- Mid-term Evaluation of the UNEP-DHI – Centre for Water and Environment. Client: UNEP, 2014
- Global joint donor review of UNDP Cap-Net. *Team Leader*. Client: UNOPS, 2014
- Global evaluation of the "Gender-responsive Climate Change Initiatives and Decision-making" programme phase 2 and 3 (implemented by UNDP-UNEP, IUCN, WEDO) under the Global Gender and Climate Alliance (GGCA). *Team Leader*. Client: UNDP, 2013
- Evaluation of Output 2, Rural Growth Programme (RGP), Tajikistan. *Team Leader*. Client: UNDP, 2013

Name: Stephanie Robert Oksen

Profession	Partner and Board Member, PEMconsult
Nationality	French
Country experience	<ul style="list-style-type: none"> • Europe: Denmark, France, Luxembourg, Ukraine • Africa: Benin, Burkina Faso, Cote d'Ivoire, Ethiopia, Kenya, Liberia, Nigeria, South Africa, Togo • Americas: USA • Asia: China, Indonesia, Lao PDR, Sri Lanka, Vietnam

Profession	Partner and Board Member, PEMconsult
Education	<ul style="list-style-type: none"> • PhD Development Studies (DK, 2009)

Short biography

Dr. Stephanie Robert Oksen is an independent consultant with more 15 years of professional experience related to development cooperation and sustainability issues, with a main focus on sustainable energy, impacts of infrastructure development (incl. job creation and gender equality), climate change, and the green transition more generally.

Key specialties and capabilities cover:

- Institutional development, training, and capacity development as well as knowledge exchanges and policy formulation
- Project/programme formulation, evaluation, and review incl. global thematic evaluation, strategic evaluation, as well as project and programme evaluation

Selected assignments and experiences:

- Evaluation of the EIB - AECID partnership in support of SMEs in the Southern Mediterranean (2011-2023). (Ongoing)
- Mid-Term Review of the Danish Voluntary Contribution to the International Energy Agency Clean Energy Transition (CETP) Programme 2021-2025. (2023)
- Evaluation of the Partnership for Action on Green Economy Interagency Programme 'Operational Strategy' (2016-2020). (2022-2023)
- Evaluation of the UNEP-GEF Project Developing Core Capacity for Multilateral Environmental Agreements (MEAs) Implementation in Haiti. (2022-2023)
- Evaluation of Environment, Climate and Energy Efficiency portfolio supported by the Embassy of Sweden in Kyiv (2017-2021). (2022-2023)
- Evaluation of the ICR Facility's work supporting 6 DFIs with tailor-made technical assistance. (2022)
- Mid-Term Review of the Global Energy Transformation Programme (2021-2022)
- Evaluation of the internal and external opportunities for increasing financing for climate change adaptation in EU and out of EU. (2021)
- UNEP and European Commission, including the Meta Evaluation of EU DG ENV - UN Environment Strategic Cooperation Agreement (SCA). (2019-2020)
- Evaluation of EU's past and current interventions with a focus on energy access, renewable energy dissemination and energy efficiency measures for climate change mitigation. (2017-2019)
- Formulation of the Danish Voluntary Contribution to the World Resource Institute. (2022-2023)
- Appraisal of the Danish Contribution to the Climate Investment Fund - Accelerating Coal Transition (ACT) Investment Program. (2022)
- Formulation of the Danish Voluntary Contribution to the International Energy Agency Clean Energy Transition (CETP) Programme 2021-2025. (2020-2021)
- Formulation of a project document on Low Carbon Transition in Energy Efficiency Project 2021-2025 for Vietnam (LCEE2). (2020-2021)

- Formulation of South-South Cooperation for Renewable Energy Technology Transfer (RETT) between China, Ethiopia and Sri Lanka Projects Formulation. (2016-2017)
- WB ESW: Gender and Electricity Infrastructure study. (2015)

ANNEX VIII. REVIEW TOR (WITHOUT ANNEXES)

TERMS OF REFERENCE

Terminal Review of the UNEP/GEF Enabling Activities project "TECHNOLOGY NEEDS ASSESSMENT PHASE III (TNA PHASE III) "GEF ID 9452"

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project Identification

UNEP PIMS/SMA⁵ ID:	N/A		
Donor ID:	GEF ID 9452		
Implementing Partners:	UNEP		
SDG(s) and indicator(s)	<p>Goal 7: Ensure access to affordable, reliable, sustainable and modern energy for all.</p> <p>7.A By 2030, enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, energy efficiency and advanced and cleaner fossil-fuel technology, and promote investment in energy infrastructure and clean energy technology</p> <p>7.A.1 International financial flows to developing countries in support of clean energy research and development and renewable energy production, including in hybrid systems</p>		
Sub-programme:	Climate Action	Expected Accomplishment(s):	Countries increasingly transition to low-emission economic development pathways and enhance their adaptation and resilience to climate change; Countries and stakeholders have increased capacity, finance and access to technologies to deliver on the adaptation and mitigation goals of the Paris Agreement.
UNEP approval date:	09.05.2018	Programme of Work Output(s):	Number of national, sub-national and private-sector actors that adopt climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support
Expected start date:	15.05.2018	Actual start date:	15.05.2018

⁵ Acronym for ID assigned by the Integrated Planning, Monitoring and Reporting (IPMR) system.

Planned operational completion date:	31.03.2021	Actual operational completion date:	31.03.2023	
Planned total project budget at approval (show breakdown of individual sources/grants):	US\$ 6,210,000	Actual total expenditures reported as of [date]:	US\$ 4,993,675	
Expected co-financing:	US\$ 2,745,000	Secured co-financing⁶:	TBD	
First disbursement:	10.07.2018	Planned date of financial closure:	31.03.2024	
No. of project revisions:	3	Date of last approved project revision:	11.01.2022	
No. of Steering Committee meetings:	8	Date of last/next Steering Committee meeting:	Last: 13.07.2023	Next: N/A
Mid-term Review/ Evaluation⁷ (planned date):	January 2020	Mid-term Review/ Evaluation (actual date):	January 2020	
Terminal Review (planned date):	September 2023	Terminal Review (actual date):	September 2023	
Coverage - Country(ies):	Benin, Central African Republic, Chad, Djibouti, Guinea, Niger, Liberia, Malawi, Uganda, Sao Tome and Principe, Afghanistan, Myanmar, Nauru, Fiji, Vanuatu, Ukraine, Antigua and Barbuda, Dominica, Haiti, Jamaica, Suriname, Trinidad & Tobago	Coverage - Region(s):	Global	
Dates of previous project phases:	TNA I (Nov 2009 – Nov 2013) TNA II (Nov 2014 - Sept 2018)	Status of future project phases:	TNA IV – Ongoing October 2020 to May 2024 TNA V – Under development	

⁶ State whether co-financing amounts are cash or in-kind.

⁷ UNEP policies require projects with planned implementation periods of 4 or more years to have a mid-point assessment of performance. For projects under 4 years, this should be marked as N/A.

2. Project Rationale

This project supported developing countries to conduct Technology Needs Assessments (TNAs). TNAs are central to the work of Parties to the United Nations Framework Convention on Climate Change (UNFCCC) and present an opportunity to track an evolving need for new equipment, techniques, practical knowledge and skills, which are necessary to mitigate GHG emissions and/or reduce the vulnerability of sectors and livelihoods to the adverse impacts of climate change. Since 2001, developing country Parties to the UNFCCC have been assessing their technology needs in the areas of climate change mitigation and adaptation within the framework of their national development plans and strategies.

The GEF Secretariat has financed the following TNA phases:

1. **TNA Phase I: Implemented November 2009 – November 2013**
GEF Grant: US\$ 8,181,818
Original number of countries: 36
Funding per country: US\$ 202,000
Evaluation report published September 2016

2. **TNA Phase II: Implemented November 2014 – September 2018**
GEF Grant: US\$ 6,105,835
Original number of Countries: 27
Funding per country: US\$ 245,000
Evaluation report published April 2020

3. **TNA Phase III: Implemented May 2018 to March 2021 (Subject of this Terminal Review)**
GEF Grant: US\$ 6,210,000
Original number of countries: 23
Funding per country: US\$ 270,000
Evaluation to be launched.

4. **TNA IV: Ongoing October 2020 to May 2024**
GEF Grant: US\$4,590,000
Number of Countries:17
Funding per country: US\$ 270,000
Evaluation report published September 2016

5. **TNA V (under development)**

This phase, the TNA Phase III, aimed to respond to the high demand for TNA support expressed by countries to UN Environment, UDP, the Regional Centres, the UNFCCC Secretariat, and the Climate Technology Centre and Network (CTCN) between 2013 and 2015.

Although technologies have been identified as a key factor of success to reach climate change related targets, the information contained in INDCs and existing documents is generally not sufficient to plan and implement technology projects that will enable the countries to reach their targets.

The twenty-three countries participating in this project explicitly mention in their policy documents (INDCs or National Communications) and/or indicated through communication with UN Environment the need for external support to identify and implement the technology actions necessary to achieve their national development goals and NDC targets.

This third phase of the Global Technology Needs Assessment project funded by GEF supported participating countries in further defining the national technology barriers for their prioritised sectors and technologies, and in developing an action plan to overcome these. The project therefore aimed to: (i) strengthen national capacities for identifying and prioritizing technology actions, (ii) advocate for the integration of technology priorities into national planning processes, with a special focus on technologies for implementing NDCs, and (iii) promote national dialogue between policy makers and

donors/investors to lay the foundation for further policy enhancement and investment for environmentally sound technology actions.

3. Project Results Framework

The Project Objective is to provide participating countries with targeted financial and technical support to prepare new or updated and improved TNAs, including TAPs, for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives.

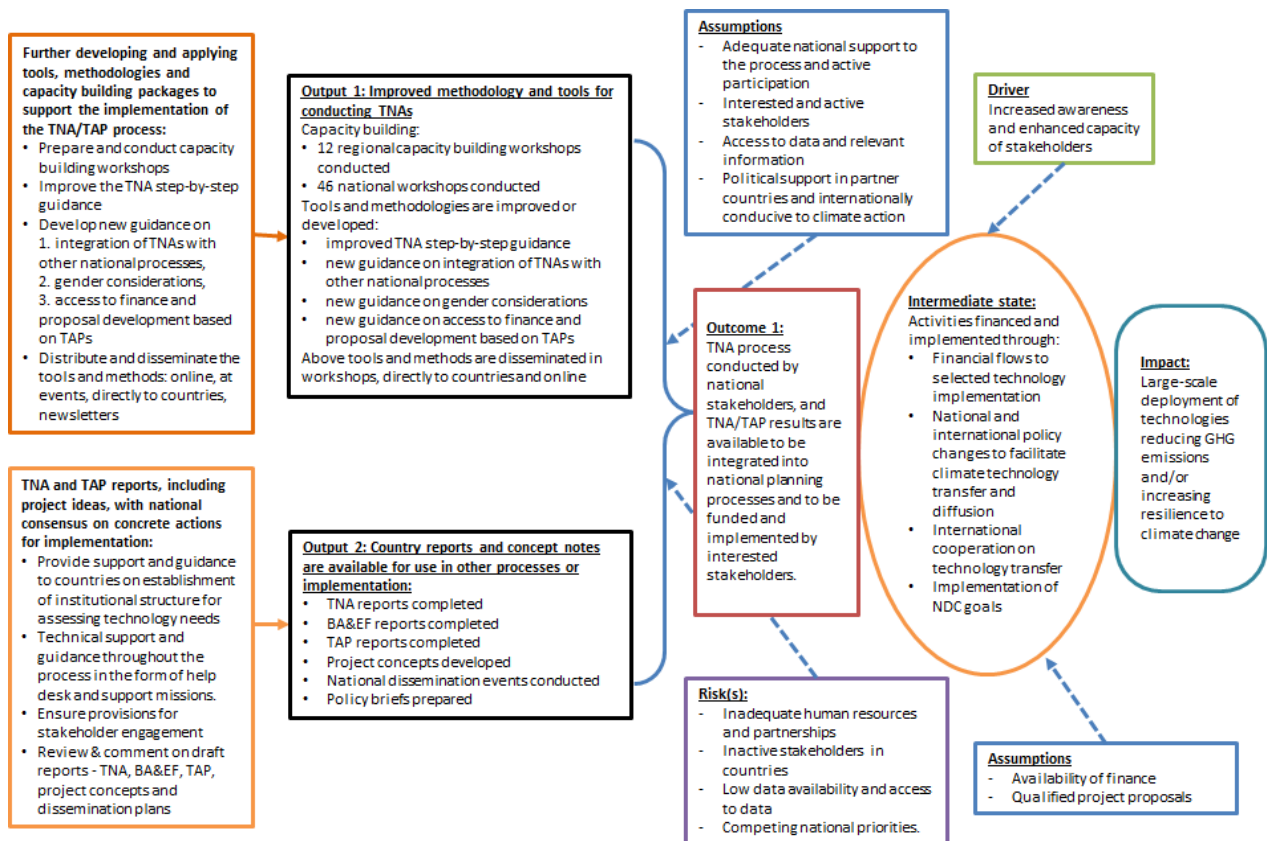
The Project Outcome (Outcome 1) was Technology Needs Assessment (TNA) processes conducted by national stakeholders in the twenty three participating countries, and TNA/TAP results available to be integrated into national planning processes and to be funded and implemented by interested stakeholders. Participating countries were also expected to gain improved in-country capacity on the methodologies and process of conducting a TNA, including stakeholder engagement, multi-criteria analysis, barrier analysis, and preparation of project concepts.

To achieve its overall objective and main outcome, the project was designed around one component (Component 1: Technology Needs Assessments and development of Technology Action Plans) that was expected to deliver two main outputs:

- **Output 1:** Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process;
- **Output 2:** TNA and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation.

If the outputs of the project were generated via a transparent participatory approach, with strong stakeholder engagement, national consensus was expected to be reached on priority technologies and actions. The TNA in this project aimed to support participating countries to implement their commitments under the Paris agreement and the revision of their NDC. Therefore, provided the political environment in supported countries was conducive to climate action, the project outputs would lead to policy changes and finance flows into priority technology areas. Finally, if this was successful and adequate support mechanisms were in place, the project could have expected to contribute to increased deployment of technologies that reduce greenhouse gas emissions and/or improve resilience to climate change in the target countries.

THEORY OF CHANGE

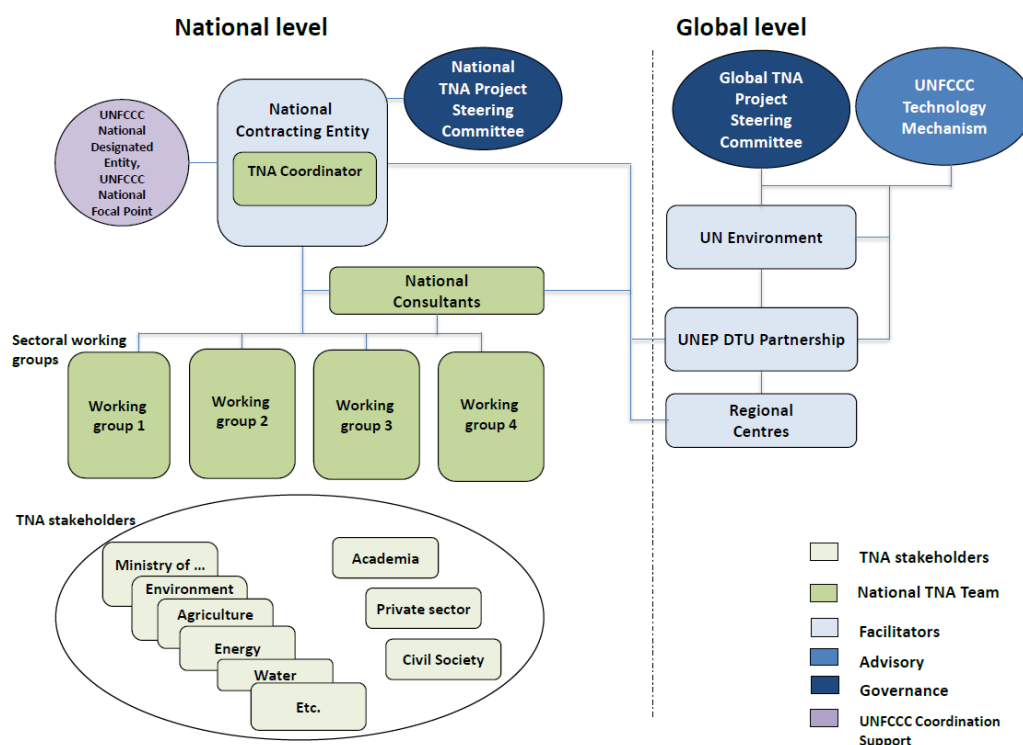


4. Executing Arrangements

INITIAL EXECUTING ARRANGEMENTS

UDP was the executing agency for the project at the global level and its main task was to provide guidance to countries (i) on setting up national project implementation structures using the existing model from TNA I and II, and (ii) on conducting the TNA process. In this task, UDP worked with some selected regional institutions labelled as Regional Centres.

To achieve the outputs and outcomes of the TNA process at national levels, national TNA teams needed to be formed. The national TNA team was, under the leadership of a National TNA Coordinator, to conduct the TNA process. The National TNA Team is an umbrella that refers to the TNA Committee, the sectoral working group and the national consultants.



This institutional structure in the participating countries was to enable the engagement of key sectoral actors, including experts and decision makers, in the TNA process, and facilitate their use of its results. Key actors included representatives from key ministries, e.g. ministries of finance, trade, industry, transport, forestry, energy, water, health, and agriculture. The TNA process was to be conducted through a stakeholder driven approach lead by the national TNA team, composed of the National TNA Coordinator, the TNA consultants and the sectoral working groups.

The national consultants were to be selected by the National Contracting Entity, with approval by the National TNA Project Steering Committee, and with support, guidance and approval from UDP as well. The consultants were to work in close collaboration with the National TNA Coordinator and the sectoral working groups. The consultants were reporting directly to the National TNA Coordinator. The consultants' overall task was to support the entire TNA process from identification and prioritization of sectors and technologies throughout the preparation of TAPs and project ideas. The consultants were considered essential to the implementation of the TNA project at national level and preparing its deliverables. Together with the National TNA Coordinator, the consultants were to participate in the national and regional capacity building workshops, and with the skills gained during this training, facilitate the work in the sectoral working groups and produce the TNA deliverables under the auspices of the National TNA Coordinator.

The Global TNA Project Steering Committee was to be composed by a representative from the GEF but also from other organizations and institutions, e.g. the World Bank, the Green Climate Fund, the UNFCCC Secretariat, the UNFCCC Technology Executive Committee, the Climate Technology Centre and Network, IRENA, etc.

UN Environment's Energy and Climate Branch, Economy Division, was to provide in-kind backstopping services to UDP through strategic, technical and methodological support for project implementation; it was to support the dissemination of results and engagement of donors/development partners to foster TAP implementation; and facilitate synergies and links between the project and UN Environment's other climate change programmes and projects. Also, UN Environment's GEF Climate Mitigation Unit, as the GEF Implementing Agency, was responsible for project supervision to ensure consistency with GEF and UN Environment policies and procedures.

REVISED EXECUTING ARRANGEMENTS

An executive decision was made to transfer support for the UNEP DTU Partnership, or UDP, from the Danish Technical University to UNOPS and subsequently the UNEP Copenhagen Climate Centre (UNEP CCC). This involved terminating contracts of personnel and projects under UDP and moving

them to UNEP CCC. The TNA III and IV projects thus established new executing arrangements with UNEP CCC over 2022.

5. Project Cost and Financing

PROJECT COST

Project Objective: Provide participating countries targeted financial and technical support to prepare new or updated and improved TNAs, including Technology Action Plans (TAPs), for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives						
Project Components/ Programs	Financing Type⁸	Project Outcomes	Project Outputs			
Component 1: Technology Needs Assessments (TNA) and development of Technology Action Plans (TAP)	TA	Outcome 1: TNA process conducted by national stakeholders, and TNA/TAP results are available to be integrated into national planning processes and to be funded and implemented by interested stakeholders.	Output 1: Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process Output 2: TNA and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation	GEFTF	5,626,486	2,680,181
			Evaluations	GEFTF	60,000	0
			Subtotal		5,686,486	2,680,181
			Project Management Cost (PMC) ⁹	GEFTF	523,514	64,819

⁸ Financing type can be either investment or technical assistance.

⁹ For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

Total project costs		6,210,000	2,745,000
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Present most recent figures on disbursement

Disbursement Date	Cash Advances
10 Jul 2018	\$700,000.00
13 Dec 2019	\$1,244,546.92
4 Feb 2020	\$561,990.00
29 Jun 2020	\$70,750.08
9 Jul 2020	\$1,751,823.81
31 Dec 2020	(\$0.08)
13 Oct 2022	\$243,102.29
28 Oct 2022	\$995,654.00
22 Nov 2022	\$155,163.98
7 Feb 2023	\$426,970.00
Total	\$6,150,001.00

6. Implementation Issues

The Mid-term Review reported the following implementation issues:

- i. Stakeholder Engagement: A number of countries indicated challenges with engaging sectoral experts and the private sector with regards to their interest and timely availability to participate in the TNA processes.
- ii. Lengthy in-country bureaucracies in the validation of various TNA reports which subsequently delayed the progression of in-country activities
- iii. Access and availability of up-to date climate data in appropriate formats for the TNA's
- iv. Lack of participation of financial institutions and development partners who play a critical role in the realization of the Technology Action Plans.

Implementation Issues that were identified in the periodic progress reporting:

- i. COVID 19 Pandemic: The travel restrictions and incountry lock-downs resulting from the COVID 19 pandemic affected the TNA Regional workshops; national consultation meetings and workshops; and peer learning and exchange amongst countries. While alternative virtual approaches were employed to progress with the national and regional activities, internet challenges and lockdowns significantly slowed down the progress.
- ii. Significant delays were experienced during the change of the executing arrangements from UNEP DTU Partnership to UNEP CCC. These delays resulted from the renegotiation, termination and re-establishment of personnel contracts under UDP to UNEP CCC; reconciliations and closure of UDP books under UNEP and subsequent preparation of agreements and related packages as well as cash disbursement to UNOPs, the administrative arm of UNEP CCC; termination of national contracts with the 22 countries by UDP and reinstating them under UNEP CCC.

- iii. Eritrea was formally dropped from participating in the TNA Phase III due to non-response by the country representatives in the establishment of the project at the country level. The project results framework targets were revised to 22 countries.
- iv. In Myanmar and Afghanistan, the country activities were discontinued in 2021 and project agreements terminated. At the time of termination, the countries had not delivered on their final activities of policy briefs, concept notes, round table events and dissemination of results.
- v. Nauru, Suriname and Dominica did not finalize on all their activities under the TNA III due to national instability and earlier delays caused during the Covid 19 pandemic.

The Risks identified during project development remained constant during the implementation phase and this included:

- i. Lack of strong political commitment to the TNA process would negatively affect the integration of TNA results to other national processes. This in turn would result in low execution of the technology action plans and funding of technology concept notes. Measures on institutional arrangements were proposed to the countries to have NDE's overlapping as TNA coordinators so as to increase the likelihood of political commitments. While this measure was not employed by all the counties, an assessment of the uptake of the TNA results through the engagement and dissemination activities would need to be assessed.
- ii. Lack of participation in the TNA processes by financial institutions and the subsequent lack of funding consideration on the prioritized technologies identified by countries. While measures to mitigate these were designed into the project through the activities of obtaining letters of intent from financial institutions to finance the concept notes; as well as the integration of identified technologies into larger funding proposals, the outcomes of these approaches are yet to be realized.

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

7. Objective of the Review

In line with the UNEP Evaluation Policy¹⁰ and the UNEP Programme Manual¹¹, 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 and its partners. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation, especially for future phases of the project.

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 a follow-up project is planned, 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 by the use of 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

¹⁰ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

¹¹ <https://wecollaborate.unep.org>

“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 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/GEF Task 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/GEF Task 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**¹² 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. [For GEF projects, see Annex 1 for five questions that are required when reporting in the GEF Portal and these must be addressed in the TR]:

At Inception Stage of the Terminal Review, the Reviewer should indicate whether any of the following questions will be addressed under specific Review Criteria or if they will be answered in the Conclusions section.

- i. To what extent were the recommendations and learning from previous performance assessments (e.g. Terminal Evaluations of previous phases and Mid Term Reviews) responded to through adaptive management and/or phase design?
- ii. How has the work/results under the Technology Needs Assessment (TNA) project linked to the Climate Technology Centre and Network (CTCN) support: and what areas of improvements would be recommended to enhance these linkages in future?
- iii. For the 5 countries that did not nominate their NDE’s to UNFCCC as their TNA Coordinators, were there significant differences in obtaining political and private sector participation in the TNA activities towards progressing the project at the national levels?
- iv. Where countries changed their decision to be part of this project, are there any underlying issues or learning that the project team should be aware of for future project phase designs?
- v. With the introduction of Concept Notes to the TNA Phase III, has this deliverable increased the likelihood of financing of the TAPs uniformly across the participating countries.

¹² The strategic questions should not duplicate questions that will be addressed under the standard review criteria described in section 10.

- vi. How has the capacity building activities under the TNA project contributed to build in-country capacity, also for other purposes than the TNA project?
- vii. To what extent have gender sensitive approaches been incorporated in the project and how effective have these approaches been?
- viii. If and how have the TNA project results contributed to other national processes (NDC update, NAP, LTS, other national strategies)?
- ix. (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-G below, outline the scope of the review criteria. The set of review criteria are grouped in nine categories: (A) Strategic Relevance; (B) Effectiveness¹³, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (C) Financial Management; (D) Efficiency; (E) Monitoring and Reporting; (F) Sustainability; and (G) 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 donors, 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 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

1. 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 GEF 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 with Relevant Existing Interventions/Coherence¹⁴

2. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization¹⁵, 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.

B. Effectiveness

i. Availability of Outputs¹⁶

¹³ For GCF funded projects the assessment of Effectiveness includes an assessment of innovativeness, replication and scalability and negative and positive effects, as appropriate.

¹⁴ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

¹⁵ 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.

¹⁶ 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)

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 Outcomes¹⁷

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed¹⁸ 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

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 Evaluation 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 role¹⁹ or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly

¹⁷ 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).

¹⁸ 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.

¹⁹ 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

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).

C. Financial Management

The assessment of financial management will include consideration of the following aspects: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The Review will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The Review will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The Review will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Review will assess the level of communication between the Project Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

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.

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

The 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 complementarities²⁰ 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

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.

²⁰ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

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

i. Monitoring of Project Implementation

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART²¹ results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities.

The Review will assess whether a monitoring system²² was operational and facilitated the timely tracking of results and progress towards project objectives throughout the project implementation period²³. This assessment will include consideration of whether the project 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, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the 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

The Review will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. 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

Sustainability²⁴ 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 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 associated with the project outcomes after project closure.

²¹ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable. It is noted that Enabling Activity projects are not required to report against GEF Core Target Indicators.

²² According to the GEF Project and Program Cycle Management Policy, 2020, co-financing is not required for EAs; PPGs are not available for Enabling Activities, and M&E budgets are not required as these costs do not apply to Enabling Activities. However, UNEP sees the monitoring function as essential for the timely and effective delivery of a project and achievement of its planned results.

²³ According to the GEF Evaluation Policy, 2019, Mid-term reviews are *encouraged* for enabling activities where appropriate and feasible. UNEP requires project of 4 or more years' duration to carry out a mid-term review, which may, depending on the nature of the project, be an internal process or involve the contracting of an external consultant.

²⁴ 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).

In particular, the Review will consider whether institutional capacity development efforts are likely to be sustained.

ii. Other Dimensions of Sustainability (e.g. socio-political, financial)

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 still 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.

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. 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 (UNEP/Implementing Agency; Partner/Executing Agency) 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.

ii. 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 maximise 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.

iii. Responsiveness to Human Rights and Gender Equality

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 Environment²⁵.

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 taken into account. 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.

The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent.

iv. 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 requirements²⁶ 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 Task Manager.

v. Country Ownership and Driven-ness

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

²⁵ The Evaluation 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

²⁶ 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. In GEF projects safeguards have been considered in project designs since 2011.

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.

vi. 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 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.

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

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(s) maintains close communication with the project team and promotes information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings. Where applicable, the consultant(s) 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:

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

Relevant background documentation;

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);

Mid-Term Review of the project;

Evaluations/Reviews of similar projects.

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

UNEP Task Manager (TM);

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**

- (d) **Field visits**
- (e) **Other data collection tools**

11. Review Deliverables and Review Procedures

See Annex 1 of these TOR for a list of tools and guidance available, see Annex 3 for a list of review criteria and sub-categories to be assessed. The Review Consultant will prepare:

Inception Report: (see Annex 4 of these TOR) 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: (see Annex 5 of these TOR) 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 Task Manager and revise the draft in response to their comments and suggestions. The Task 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 Task Manager for consolidation. The Task 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 Evaluation 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 Task 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

This review will be undertaken by one consultant. The Review Consultant will work under the overall responsibility of the UNEP Task Manager Ms. Suzanne Lekoyiet/Jonathan Dwuyn supported by the Senior Programme Assistant, Ms. Cicilia Magare in consultation with the Fund Management Officer Ms. Fatma Twahir support the Finance and Budget Assistant Ms. Patricia Mwenya, the Co-portfolio Manager, Ms. Ruth Coutto, and the Climate Action Sub-programme Coordinator, Niklas Hageburg.

The Review Consultant will liaise with the UNEP Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultants' 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 Task 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 6 months September 2023 to March 2024 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 5 years of technical / evaluation 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 technology for sustainable development and climate

change mitigation/adaptation, assessing implementation of capacity for technology needs assessments and follow up action; excellent writing skills in English. 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 desirable. The work will be home-based with possible field visits.

The Review Consultant will be responsible, in close consultation with the UNEP Task Manager and Senior Programme Assistant, 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.

3.

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	September
Review Mission	October 2023
E-based interviews, surveys etc.	October – November 2023
PowerPoint/presentation on preliminary findings and recommendations	December 2023
Draft Review Report to UNEP Project Manager	January 2023
Draft Review Report shared with wider group of stakeholders	February 2023
Final Main Review Report	February 2023
Final Main Review Report submitted to the UNEP Evaluation Office for validation and quality assessment	March 2023
Final Main Review Report shared with all respondents	March 2023

14. Contractual Arrangements

The Review Consultant(s) will be selected and recruited by the Task 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 Task Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment:

4. Deliverable	5. Percentage Payment
6. Approved Inception Report (<i>as per Guidance Note</i>)	7. 30%
8. Approved Draft Main Review Report (<i>as per Guidance Note</i>)	9. 30%
10. Approved Final Main Review Report (<i>as per Report Template</i>)	11. 40%

12.

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 Task 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 consultants agree 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 consultants have improved the deliverables to meet UNEP's quality standards.

If the consultant fails to submit a satisfactory final product to the UNEP Project Manager/GEF Task 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 VIII. IMPLEMENTATION PLAN OF RECOMMENDATIONS

Project Title and Reference No.: Technology Needs Assessment Phase III (TNA III) GEF ID 9452

Contact Person (TM/PM): Suzanne Lekoyiet

	PLANS			
RECOMMENDATIONS	ACCEPTED (YES/NO/PARTIALLY)	WHAT WILL BE DONE?	EXPECTED COMPLETION DATE	REPOSIBLE OFFICER/ UNIT/ DIVISION/ AGENCY
<p>Encourage and facilitate engagement with a broader range of donors and funding sources for concept note and TAP implementation. Possible actions include:</p> <ul style="list-style-type: none"> - Mapping relevant donors, incl. bilateral donors and major philanthropies, at the global level. - Adding to the TNA methodology mapping of relevant donors present at the country level. - Encouraging countries to engage in dialogue with relevant donors (with an in-country presence) as part of the TNA process, in particular in relation to the elaboration of TAPs and concept notes. 	Accepted	<ul style="list-style-type: none"> - Mapping relevant donors, incl. bilateral donors and major philanthropies, at the global level. - Adding to the TNA methodology mapping of relevant donors present at the country level. - The above two actions are incorporated through TNA V CEO Endorsement document output 1, deliverables 1.1, 1.2, 1.3 and 1.4, where guidance will be provided to country teams to map and involve the finance community and potential donors. - Encouraging countries to engage in dialogue with relevant donors (with an in-country presence) as part of the TNA process, in particular in relation to the elaboration of TAPs and concept notes. This is incorporated through TNA V CEO Endorsement document output 3, deliverables 3.1, 3.2, 3.3 and dissemination packages targeting decision- 	May 2024 (TNA V)	UNEP, UNEP CCC

	PLANS			
RECOMMENDATIONS	ACCEPTED (YES/NO/PARTIALLY)	WHAT WILL BE DONE?	EXPECTED COMPLETION DATE	REPOSIBLE OFFICER/ UNIT/ DIVISION/ AGENCY
-		<p>makers and potential donors/investors at the national, regional and global levels.</p> <p>Encouraging private sector involvement through a new guidance module on private sector and partnership creation in the content of TNA and TAP training sessions. This is incorporated under output 1, deliverables 1.1, 1.2, 1.3 and 1.4.</p>		
<p>Strengthen the TNA and TAP methodology vis-à-vis human rights, social and environmental risks, and safeguards.</p> <p>Possible actions include:</p> <ul style="list-style-type: none"> - Integrating in the guidelines tools for addressing human rights (applying a rights-based approach), social and environmental risks, and avoiding negative effects - Assessing as part of the draft document review process, the extent to which human rights and social and environmental safeguards are adequately covered in TNAs and TAPs. 	Accepted	<p>This recommendation will be addressed under the TNA Phase V project which is in the final stages of review towards endorsement by the GEF Secretariat.</p> <p>This is being addressed through TNA V CEO Endorsement document Output 1, deliverables 1.1, 1.2, 1.3 and 1.4, through updated guidance materials, content of regional training workshops, as well as reporting templates for the TNA, BAEF and TAP reports that incorporate a strengthened methodology vis-à-vis human rights, social and environmental risks, and safeguards.</p>	6-12 months (TNA V)	UNEP, UNEP CCC
In TNA V, engage more comprehensively in the focal sectors and focus on strengthening country	Accepted	- Introducing a ceiling on the number of sectors that can be covered with global set-aside funding (e.g. one mitigation sector and	6-24 months (TNA V, TNA IV)	UNEP and UNEP-CCC in dialogue with the GEF

	PLANS			
RECOMMENDATIONS	ACCEPTED (YES/NO/PARTIALLY)	WHAT WILL BE DONE?	EXPECTED COMPLETION DATE	REPOSIBLE OFFICER/ UNIT/ DIVISION/ AGENCY
<p>capacities to develop TAPs and concept notes and to mobilize financing for their implementation. Possible actions include:</p> <ul style="list-style-type: none"> - Introducing a ceiling on the number of sectors that can be covered with global set-aside funding (e.g. one mitigation sector and one adaptation sector) – encourage countries to mobilise cash co-financing (e.g. from their STAR allocation) to cover the costs of any additional sectors - Encouraging countries to focus on a small number of high potential technologies (e.g. 1-2 technologies) per sector in their TAPs. - Increase the fund allocation per country – if necessary, reduce the number of countries supported with global set-aside funding 		<p>one adaptation sector) – encourage countries to mobilise cash co-financing (e.g. from their STAR allocation) to cover the costs of any additional sectors</p> <ul style="list-style-type: none"> - Increase the fund allocation per country – if necessary, reduce the number of countries supported with global set-aside funding. <p>The time of the release of this TNA III report will be strategic in informing the upcoming UNFCCC intersessional negotiations (SBs June 2024) on the linkage between technology mechanism and financial mechanism of the UNFCCC. The UNEP and UNEP-CCC will follow up on any guidance that may arise on GEF funding options and possibility of increased TNA allocation under the ongoing UNFCCC negotiations.</p> <ul style="list-style-type: none"> - Encouraging countries to focus on a small number of high potential technologies (e.g. 1-2 technologies) per sector in their TAPs. This is up taken under through TNA V CEO Endorsement document output 2, through deliverable 2.1, where each country will be guided to focus on 2 to 4 sectors in total as well as on high potential technologies, thus sharpening the coverage of assessments, as appropriate, when preparing their TNA reports, also shaping the focus of TAP reports under 3.1. (UNEP CCC as 		Secretariat

	PLANS			
RECOMMENDATIONS	ACCEPTED (YES/NO/PARTIALLY)	WHAT WILL BE DONE?	EXPECTED COMPLETION DATE	REPOSIBLE OFFICER/ UNIT/ DIVISION/ AGENCY
		incorporated in CEO Endorsement)		
<p>Develop a partnership-based initiative for follow-on support for facilitating funding of TAP implementation. Possible actions include:</p> <ul style="list-style-type: none"> - Seeking buy-in from the GEF and/or GCF to financially support a follow-on initiative - Seeking buy-in from CTCN and the TEC to participate in a partnership-based follow-on initiative - Defining the scope and focus of the follow-on initiative – possible components include: <ul style="list-style-type: none"> o Support for the process of getting donor buy-in and approval of concept notes developed with support from TNA III and the elaboration of full project proposals (as well as other TNA phases) o Support for the development and donor buy-in and approval of further concept notes and project proposals based on TAPs o Provision of financial expert advice for 	Accepted	<p>For the ongoing projects i.e TNA IV and proposal in TNA V, strong linkages are enhanced in its project steering committee members representation which includes CTCN, UNFCCC TEC Chair and members; GEF, GCF. UNEP and the UNEP CCC will take a lead in initiating discussions amongst these potential partners to deliberate on possible solutions to further strengthening partnership during the PSC meetings.</p> <p>UNEP and UNEP-CCC will assess and facilitate discussions on the possibility of developing a partnership-based initiative for facilitating funding of TAP implementation, in collaboration with partners.</p>	12-24 months.	UNEP-CCC in dialogue and cooperation with UNEP, CTCN, TEC, GEF Secretariat, GCF Secretariat

	PLANS			
RECOMMENDATIONS	ACCEPTED (YES/NO/PARTIALLY)	WHAT WILL BE DONE?	EXPECTED COMPLETION DATE	REPOSIBLE OFFICER/ UNIT/ DIVISION/ AGENCY
<p>countries</p> <ul style="list-style-type: none"> ○ Advocacy and dialogue with relevant donors (incl. bilateral donors and large philanthropies) at the global level vis-à-vis support for TAP implementation technology transfer ○ Facilitation of new partnerships for North-South and South-South technology transfer <ul style="list-style-type: none"> - Integrating TNAs and TAPs in UNEP's preparation process for full-scale projects as GCF and GEF accredited entity. - Advocating in partnership with other stakeholders for the integration of TNA and TAP as a standard element of NDCs and NAPs. 				

The following is a summary of lessons learned from some of the project’s experiences and based upon explicit findings of the review. They briefly describe the context from which the lessons are derived, and the potential for wider application:

Lesson Learned #1:	Continuity and a long-term perspective enable better support and thus better results
Context/comment:	A unique feature of TNA III was that it was one phase of a long-term initiative, which started several years before TNA III and still continues. This long-term perspective allowed for a highly structured approach, and continuous development, testing, and refinement of the overall methodology and its specific elements. Moreover, TNA III and the participating countries benefitted significantly from well-established project delivery structures at the global and regional level, as well as from experienced global and regional teams with a long-term institutional memory. (See section VI.A, paragraph 161)
Lesson Learned #2:	Integrating project implementation and outputs in existing processes and structures enhances results and buy-in and thus adds value
Context/comment:	In most of the participating countries, TNA III implementation was embedded in national structures, e.g. with the national TNA Coordinator often also being the NDE, the project being housed at the department responsible for the NDC or with the agency response for technology transfer, and/or with existing national climate change committees serving as national TNA steering committees. Furthermore, the TNA process was usually linked to the NDC process, either providing inputs and information to the revision of NDCs or taking departure in priorities in the NDC and bringing them further towards implementation. (See section VI.A, paragraph 162)
Lesson Learned #3:	Country-driven processes and emphasis on stakeholder participation does not always ensure full government buy-in
Context/comment:	A key feature of TNA III was a country-driven approach with a strong emphasis on integration in national systems and on stakeholder participation. However, while stakeholder participation and ownership were generally good especially among government stakeholders, government ownership at the decision-making level was not always

	<p>sufficient and few have so far taken significant steps towards facilitating technology transfer and diffusion.</p> <p>(See section VI.A, paragraph 162 and 168)</p>
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ANNEX IX. QUALITY ASSESSMENT OF THE REVIEW REPORT

Review Title: 'Technology Needs Assessment Phase III' (TNA III)

Consultant: Kris B. Prasada Rao

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 Review Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary Purpose: 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"> • concise overview of the review object • clear summary of the review objectives and scope • overall review rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria • reference to where the review ratings table can be found within the report • summary response to key strategic review questions • summary of the main findings of the exercise/synthesis of main conclusions • summary of lessons learned and recommendations. 	<p>Final report:</p> <p>The section addresses all required elements and distils the most critical information into a concise and logical format which mirrors the structure of the full report thus making it easy to grasp the salient information.</p> <p>The translation of the Executive Summary is highly appreciated.</p> <p>This section could have been further enriched by including some of the missing information pointed out in the various sections of the report such as addressing the strategic questions and to also highlight that the project was funded as a GEF enabling activity (i.e. supporting countries to meet their commitments under a convention) which also underwent a mid-term review in Feb 2020.</p>	5
<p>Quality of the 'Introduction' Section Purpose: 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"> • institutional context of the project (sub-programme, Division, Branch etc) • date of PRC approval, project duration and start/end dates • number of project phases (where appropriate) • results frameworks to which it contributes (e.g. POW Direct Outcome) • coverage of the review (regions/countries where 	<p>Final report (coverage/omissions): The section uses a funnel approach to describe the evaluand's institutional context thus giving the reader a clear broad overview of the different actors and their specific scope and roles, then progressively narrowing it down to its execution at the lowest level, and its alignment and contribution to UNEP's overarching strategic instruments.</p> <p>Final report (strengths/weaknesses): Given that this was the 6th review, and that this section aims to introduce the evaluand, this section would have been enriched by a brief description of the evolution (financing, scope, coverage, partnerships, etc) of the project beyond simply stating when other reviews were undertaken. It would have also been useful to list the participating countries and if these changed over the time of implementation of the project since its</p>	4

<p>implemented)</p> <ul style="list-style-type: none"> • implementing and funding partners • total secured budget • whether the project has been evaluated in the past (e.g. mid-term, external agency etc.) • concise statement of the purpose of the review and the key intended audience for the findings. 	<p>commencement to give the reader a sense of change of scope if any. Other additional details that would have been of use at this stage include the date of approval of the project (March/May 2018); implementation dates for the phase under review (May 2018 – March 2023); and the fact that the project was extended twice for a total of two years due to COVID-19. Given the long history of the project, in addition to the narrative, this information could have been summarized in a table format or referenced as an Annex.</p>	
<p>Quality of the 'Review Methods' Section</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"> • description of review data collection methods and information sources • justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face) • number and type of respondents (see table template) • selection criteria used to identify respondents, case studies or sites/countries visited • strategies used to increase stakeholder engagement and consultation • methods to include the voices/experiences of different and potentially excluded groups (e.g. vulnerable, gender, marginalised etc) • details of how data were verified (e.g. triangulation, review by stakeholders etc.) • methods used to analyse data (scoring, coding, thematic analysis etc) • review limitations (e.g. low/ imbalanced response rates across different groups; gaps in documentation; language barriers etc) • 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> 	<p>Final report (coverage/omissions):</p> <p>The report demonstrates that a diverse group of stakeholders and implementation sites were selected for interviews to capture their different perspectives and insights. The survey respondents appear to form a coherent group of sufficient size to support quantitative analysis. It is noted that, for an Enabling Activity project, UNEP does not use a weighted approach to establish the overall project performance, but rather, calculates a normal average across all the performance criteria.</p> <p>Final report (strengths/weaknesses):</p> <p>Table 2 provides a good overview of the respondent sample however, it is not clear why the review thought that virtual interviews were a limitation.</p>	<p>5</p>

<p>Quality of the 'Project' Section</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"> • <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) • <i>Results framework:</i> summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders:</i> description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners:</i> description of the implementation structure with diagram and a list of key project partners • <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 • <i>Project financing:</i> completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>Final report:</p> <p>This section presents a well-articulated synopsis of the challenge the project intended to address and provides a compelling persuasion of why and how the problem should be addressed. It also clearly describes the division of labour of each entity involved in implementation of the project which lays the foundation for assessment of the efficient coordination and collaboration of the project's execution. The description of the project's different sources of financing lends credence to the support garnered by project, which lays the foundation for assessing stakeholder engagement and sustainability.</p> <p>Content in paragraphs 50, 51, 52, 68 should also be included in the introduction section which describes the evaluand.</p>	5
<p>Quality of the Theory of Change</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"> • description of how the <i>TOC at Review</i>²⁷ was designed (who was involved etc) • confirmation/reconstruction of results in accordance with UNEP definitions 	<p>Final report (coverage/omissions):</p> <p>The reconstructed TOC has provided the reader with an improved understanding of the logic underlying the project and the roadmap towards its intended impact. The justification for reformulation is persuasive with Figure 2 providing a clear overview of the causal pathways that have been reviewed.</p> <p>Final report (strengths/weaknesses):</p> <p>With the exception of the reconstructed results at impact level, the other result levels at intermediate state level are not phrased as results. The intended changes are not explicitly stated. In addition, the TOC does not incorporate any human rights or gender dimensions. UNEP guidance is that, if not</p>	4.5

²⁷ 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"> • articulation of causal pathways • identification of drivers and assumptions • identification of key actors in the change process • 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. 	<p>reflected in actual results statements, these equality issues should be reflected as either drivers (if the project committed to equality strengthening or inclusion etc) or assumptions (as being part of the UN). This incorporation in the TOC would support an assessment of performance against this criterion.</p>	
<p>Quality of Key Findings within the Report</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. A finding should go beyond description and uses analysis to provide insights that aid learning specific to the evaluand. 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>Final report (coverage/omissions):</p> <p>There is an effective use of survey results to support the assessment of performance under individual criteria, which is combined with evidence from documents and/or interviews. The report shows internal consistency.</p> <p>Final report (strengths/weaknesses):</p>	5
<p>Quality of 'Strategic Relevance' Section</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"> • Alignment to the UNEP, GEF and Country (global, regional, sub-regional and national) strategic priorities • Complementarity/coherence of the project at design (or during 	<p>Final report (coverage/omissions):</p> <p>The findings support the rating (highly satisfactory) which show how well the project was designed to contribute effectively to broader strategic frameworks and it's consistency with intervention sites' interests and priorities.</p> <p>Final report (strengths/weaknesses):</p> <p>The survey results have been applied well to support the assessment of performance against this criterion.</p>	6

<p>inception/mobilisation²⁸), with other interventions addressing the needs of the same target groups.</p>		
<p>Quality of 'Effectiveness' Section (i) Availability of Outputs: <u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the outputs made available to the intended beneficiaries. To include:</p> <ul style="list-style-type: none"> • a convincing, evidence-supported and clear presentation of the outputs made available by the project compared to its approved plans and budget • assessment of the nature and scale of outputs versus the project indicators and targets • assessment of the timeliness, quality and utility of outputs to intended beneficiaries • 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). 	<p>Final report (coverage/omissions): The section captures an in depth analysis of the project's expected products that were made available and by whom, thus underpinning the ToC. The section also highlights where the project did not deliver as expected and the reasons that led to this.</p> <p>Final report (strengths/weaknesses): The report effectively combines quantitative data from the survey with more open ended responses to provide an insightful picture of the project's performance. Para 92 records considerable disruption in several countries, partly due to COVID-19. The levels of quantitative achievements need to be considered within this external context. As there was also satisfaction with materials from the users, the rating of HS is supported.</p>	6
<p>ii) Achievement of Project Outcomes: <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. To include:</p> <ul style="list-style-type: none"> • a convincing and evidence-supported analysis of the uptake of outputs by intended beneficiaries • assessment of the nature, depth and scale of outcomes versus the project indicators and targets • discussion of the contribution, credible association and/or attribution of outcome level changes to the work of the project itself • any constraints to attributing effects to the projects' work • identification of positive or negative effects of the project on disadvantaged groups, 	<p>Final report (coverage/omissions): The report recognizes the project's limitations to fully ensure uptake and application of the outcome while also appreciating the extent to which it has successfully been able to influence some of the institutional changes to a certain degree.</p> <p>Final report (strengths/weaknesses): The report effectively combines quantitative data from the survey with more open-ended responses to provide an insightful picture of the project's performance. Given the 'enabling' feature of this kind of grant, evidence of signs of uptake is positive, especially as these countries were not involved in previous phases. This uptake may have been made possible by the two-year extension, allowing for uptake by early adopting countries to be seen by the time of this terminal review. In addition, the specific examples given e.g. for resource mobilization, integration in national and sector planning and submission of concept notes provides convincing evidence on the project's performance.</p>	5.5

²⁸ 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.

<p>including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).</p>		
<p>(iii) Likelihood of Impact: Purpose: 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. To include:</p> <ul style="list-style-type: none"> • an explanation of how causal pathways emerged and change processes can be shown • an explanation of the roles played by key actors and change agents • explicit discussion of how drivers and assumptions played out • 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). 	<p>Final report (coverage/omissions): The report recognizes the catalytic nature of the project and its design limitations to deliver on the potential impact and instead focuses its assessment on the reconstructed intermediate states which underpin the insights offered by the reconstructed ToC. It also underscores the reality of claiming attribution by this project to the realization of the intermediate states which is the expected analysis at this level.</p> <p>Final report (strengths/weaknesses): While not explicit, the discussion under the Effectiveness criterion does cover the assumptions and drivers. The section also describes the project’s catalytic role towards the impact and is therefore likely to contribute to the impacts. Although it does not have the impetus to make substantive changes on the proposed impacts, its catalytic effect has the potential to make a substantive contribution. In this regard, the rating for likelihood of impact has been validated at Moderately Likely.</p>	5
<p>Quality of ‘Financial Management’ Section Purpose: to present an integrated analysis of all dimensions evaluated under financial management and include a completed ‘financial management’ table (may be annexed). Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • <i>adherence</i> to UNEP’s financial policies and procedures • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used 	<p>Final report (coverage/omissions): The report presents its findings against the three sub-categories and combines answers from its survey with a summary of project documentation. The supporting analysis is summarized well in table 8.</p> <p>Final report (strengths/weaknesses):</p>	6
<p>Quality of ‘Efficiency’ Section Purpose: to present an integrated analysis of all dimensions evaluated under efficiency (i.e. the primary categories of cost-effectiveness and timeliness). To include:</p> <ul style="list-style-type: none"> • time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • discussion of making use, during project implementation, of/building on pre-existing 	<p>Final report (coverage/omissions): Causes that affected timeliness such as the transition to UNEP-CCC and the COVID pandemic, both of which were outside the control of the project team and main stakeholders, are well articulated and their implications which resulted in cost extensions provided.</p> <p>Final report (strengths/weaknesses): This section could have been enriched by analysing how the engagement of the different actors and partners increased efficiency through collaboration or division of labour and if it minimized duplication</p>	4.5

<p>institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</p> <ul style="list-style-type: none"> • implications of any delays and no cost extensions • the extent to which the management of the project minimised UNEP's environmental footprint. 	<p>of effort and leveraged expertise and mandates. This engagement would have particularly supported the project's funnel approach given the number of participating countries, the distance decay between the implementing and executing agencies and the intervention sites. It would have been helpful if the ways in which layers of collaboration helped to improve communication, maintain stakeholder engagement and monitor progress had been discussed.</p>	
<p>Quality of 'Monitoring and Reporting' Section</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"> • quality of monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • quality of project reporting (e.g. <i>PIMS and donor reports</i>) \ 	<p>Final report (coverage/omissions):</p> <p>Section is brief but comprehensive covering, the required elements.</p> <p>Final report (strengths/weaknesses):</p>	5.5
<p>Quality of 'Sustainability' Section</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"> • Institutional sustainability • Other dimensions of sustainability 	<p>Final report (coverage/omissions):</p> <p>The section recognizes the project's limitations in achieving full sustainability which requires financial resources to be realized. However, it has also identified the project's attempts at some elements that could lead to sustaining partial benefits such as the inherent capacities and the exit strategies.</p> <p>Final report (strengths/weaknesses):</p> <p>The report highlights that funding to implement the priority actions identified in the TAPs is one of the main constraints in terms of generating long lasting benefits from the projects.</p>	5.5
<p>Quality of Factors Affecting Performance Section</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"> • preparation and readiness • quality of project management 	<p>Final report (coverage/omissions):</p> <p>The section highlights the adaptive management in light of the transfer of functions from UDP to UNEP-CCC and also in the challenges caused by the global pandemic underpinning this on the review's analysis of the longevity of the project structures. It also articulates well the avoidance, mitigation and minimization of potential risks.</p> <p>Final report (strengths/weaknesses):</p> <p>The report provides a detailed discussion of stakeholder engagement. The discussion on gender is supported through the survey results. The report differentiates between environmental and safeguards issues in project management and in the</p>	5

<p>and supervision²⁹</p> <ul style="list-style-type: none"> • stakeholder participation and co-operation • responsiveness to human rights and gender equality • environmental and social safeguards • country ownership and drivenness <p>communication and public awareness</p>	<p>country level responses.</p> <p>However, this section could have been further enriched by providing evidence on the extent to which the PSC provided strategic direction to the project and the extent to which these were ploughed back into project implementation. The section is also quite lean on the extent to which the project implementation recognized the differential impacts between men and women and if the various outputs availed by the project were gender responsive as a result.</p>	
<p>Quality of the Conclusions Section (i) Conclusions Narrative:</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"> • compelling narrative providing an integrated summary of the strengths and weakness in overall performance (achievements and limitations) of the project • clear and succinct response to the key strategic questions <p>human rights and gender dimensions of the intervention should be discussed explicitly (e.g. how these dimensions were considered, addressed or impacted on)</p>	<p><i>Final report (coverage/omissions):</i></p> <p><i>Final report (strengths/weaknesses):</i> The report provides a synthesized conclusion which is both readable and informative. No mention is made of the strategic questions posed in the Terminal Review TOR and UNEP guidance is for an explicit response to such questions to be included in the Conclusions section. In addition, Paragraph 163 supports the instrumental participation of women but does not provide an analysis on the realization of gender responsiveness of the outputs.</p>	5
<p>ii) Utility of the Lessons:</p> <p><u>Purpose:</u> to present both positive and negative lessons that have potential for wider application and use (replication and generalization)</p> <p>Consider how well the lessons achieve the following:</p> <ul style="list-style-type: none"> • 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) • briefly describe the context from which they are derived and those contexts in which 	<p><i>Final report (coverage/omissions):</i></p> <p><i>Final report (strengths/weaknesses):</i> While lessons 1 & 2 are undeniably true and important, unfortunately they are cliché and hence dilute their usefulness for application in similar contexts. The review could have strived to find more novel insights unique to this project's context or approach.</p>	5

²⁹ 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>they may be useful</p> <ul style="list-style-type: none"> do not duplicate recommendations 		
<p>(iii) Utility and Actionability of the Recommendations:</p> <p><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.</p> <p>Consider how well the lessons achieve the following:</p> <ul style="list-style-type: none"> are feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when include at least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations. <p><u>NOTES:</u></p> <p>(i) 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.</p> <p>(ii) 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><i>Final report (coverage/omissions):</i></p> <p><i>Final report (strengths/weaknesses):</i> The recommendations are relevant and actionable in follow on phases of the project.</p>	6
<p>Quality of Report Structure and Presentation</p> <p>(i) Structure and completeness of the report:</p> <p>To what extent does the report follow the Evaluation Office structure and formatting guidelines?</p> <p>Are all requested Annexes included and complete?</p>	<p><i>Final report (coverage/omissions):</i></p> <p>The report is complete and follows UNEP's guidelines for the terminal review of an Enabling Activity project. However, the strategic questions from the TOR are not explicitly addressed.</p> <p><i>Final report (strengths/weaknesses):</i></p>	5.5
<p>(ii) Writing and formatting:</p> <p>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?</p> <p>Do visual aids, such as maps and</p>	<p><i>Final report (coverage/omissions):</i></p> <p><i>Final report (strengths/weaknesses):</i> The report is well written and presents the findings from its survey in an effective and integrated</p>	6

graphs convey key information?	manner throughout the report.	
Overall report rating		5.25