



Terminal Evaluation of the UNDP/UNEP GEF project, “Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)”

Authors:

**Joana Talafre
Erum Hasan**

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Acronyms

AAKNet	Africa Adaptation Knowledge Network
ALM	Adaptation Learning Mechanism
APAN	Asia-Pacific Adaptation Network
APR	Annual Programme Review
AWP	Annual Work Plan
CBD	Convention on Biological Diversity
COP	Conference of the Parties
FAO	Food and Agriculture Organisation
GEF	Global Environment Facility
GSP	Global Support Programme
GWP	Global Water Partnership
IA	Implementing Agency
IFAD	International Fund for Agricultural Development
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NCSA	National Capacity Self-Assessment
PB	Programme Board
PIR	Programme Implementation Review
RCU	Regional Coordination Unit
TNA	Technology Needs Assessment
TSU	Technical Support Unit
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research
UNOPS	United Nations Office for Programme Services
USAID	United States Agency for International Development
WHO	World Health Organisation

Project Identification Table

UNEP PIMS ID:	N/A	IMIS number:	LDL-5060-2724-4E07
UNEP Sub-programme:	Climate Change (SP 1)	UNEP Expected Accomplishment(s):	PoW 2012/13 EA (a) PoW 2014/15 EA (a)
UNEP approval date:	02 August 2013	UNEP PoW Output(s):	PoW 2012/13 - Output 3 PoW 2014/15 - Output 3
UNDP Project ID	5246	UNDP FA Objectives (OP/SP):	Climate Change Adaptation
UNDP approval date:	06 August 2013		
GEF project ID:	5320	Project Type:	MSP – Medium Size Project
GEF OP #:		Focal Area(s):	Climate Change
GEF approval date:	29 May 2013	GEF Strategic Priority/Objective:	Climate Change Adaptation
Expected Start Date:	September 2013	Actual start date:	23 September 2013
Planned completion date:	31 July 2015	Actual completion date:	
Planned project budget at approval:	US\$ 10,398,000	Total expenditures reported as of [date]:	
GEF Allocation:	US\$ 1,998,000 (UNEP - US\$ 999,000 UNDP - US\$ 999,000)	GEF grant expenditures reported as of [date]:	
Expected MSP/FSP co-financing:	US\$ 8,400,000	Secured MSP/FSP co-financing:	
First Disbursement:	05 September 2013	Date of financial closure:	31 August 2015
No. of revisions:	1	Date of last revision:	09 April 2014
Date of last Steering Committee meeting:		Mid-term review/evaluation (actual date):	March 2014
Terminal Evaluation (actual date):	October 2015 – May 2016		

Executive Summary

1. This Terminal Evaluation is undertaken at the completion of the project, “Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)” (otherwise known as NAP Global Support Programme) to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential), including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge-sharing through results and lessons learned among UNEP, UNDP, and with main project partners including IFAD, WHO, FAO, UNITAR, and GIZ.¹
2. The objective of the Global Support Programme (GSP), implemented from 2013-2015, is “to strengthen institutional and technical capacities for iterative development of comprehensive National Adaptation Plans (NAPs) in Least Developed Countries (LDCs)”. The Programme is global in nature, targeting LDCs, and is implemented jointly by UNDP and UNEP. While LDCs were targeted in general, 16 LDCs received one-on-one support. This included: Angola, Bangladesh, Burkina Faso, Cambodia, Comoros, Djibouti, Guinea, Liberia, Lesotho, Madagascar, Malawi, Mauritania, Niger, The Gambia, Senegal, Tanzania.
3. The project was supported through the GEF-administered Least Developed Countries Fund (LDCF) with resources of US\$1,998,000 in total through two Medium-Sized grants – US\$999,000 channelled through UNEP and US\$999,000 channelled through UNDP.

Evaluation Findings & Conclusions

4. Overall, the project receives a **satisfactory** rating in the terminal evaluation. The project has been successful in mobilizing project partners, building linkages with other multilateral initiatives and demonstrating an effective and collaborative joint-implementation model (UNDP and UNEP) in managing a global programme.
5. The project has also leveraged numerous resources to produce materials and trainings relevant to the development of the NAP. The project has supported 16 LDCs (four more than was anticipated at project design) through one-on-one support to advance on their adaptation planning by developing stocktaking reports and draft roadmaps.
6. The evaluation finds the logical framework is structured such that the project is focused on the delivery of NAP-related products, but that the application and impact of the products are challenging to assess. The phrasing of targets and indicators should be strengthened for improved assessment of results and consequent impact. Clearer targets and indicators would also lead to an improved understanding among beneficiaries of what the project is to concretely deliver and how its impact can be measured.

¹ In addition, the GSP forged partnerships Global Water Partnership (GWP), United Nations Children’s Emergency Fund (UNICEF), United Nations Office for Disaster Risk Reduction (UNISDR), Global Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA), the World Meteorological Organization (WMO), Africa Adaptation Knowledge Network (AAKNET), Asia Pacific Adaptation Network (APAN), Nairobi Work Programme (NWP)

7. **Strategic relevance:** The evaluation deems the project as relevant and as designed with sound regard for international policy context. Appropriate linkages to the guidance from the COP and mandates of implementing agencies are referred to throughout the project design documents. The evaluation noted the absence of clear country selection criteria and a transparent country selection and resource allocation process at design stage. However, the Programme Board directed the project to respond to all requests from LDCs received at the time of project inception. The rating received is **satisfactory**.
8. **Achievement of Outputs:** There are seven output-level results anticipated by the project. Overall, the evaluation finds that the achievement of Output-level results are **satisfactory**, while recognizing the need for output-level targets and indicators to be included in future iterations for quantifiable assessment. The evaluation also notes in its reconstructed theory of change (RTOC), that these outputs would serve the project better if they were presented as activities.
9. **Effectiveness: Attainment of project objectives and results:** The assessment of results are based on the analysis of three aspects of the project: (i) achievement of outcomes based on the reconstructed theory of change; (ii) the assessment of likelihood of impact using the Outcomes to Impact (ROTI) approach and the achievement of the formal project overall objective, overall purpose, goals and component outcomes. Overall the project found that in terms of the way the project is designed and framed, the level of effectiveness is **moderately satisfactory**.
10. Based on evidence gathered to date, and on the basis of the reconstructed theory of change above, the evaluation finds that the project partially delivered on the RTOC outcome. A weakness in the logical framework is that while some countries received technical assistance and products, and while they prepared stocktaking reports and draft roadmaps, there was no clear evidence that this led to capacity in the country. SMART indicators and targets were not present to the desired extent to assess the application of products received and produced. The assessment for this outcome is therefore: **The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding**
11. In relation to the intermediate states, the evaluation found that there was insufficient evidence to determine whether the intermediate states were achieved. Country-level disparities also prevail here, and while some progress has been achieved, it is impossible to tell whether the "Integration of adaptation into the existing mainstream development and poverty reduction plans and budgets of the countries" will actually occur. The assessment for this criterion is therefore: **The measures designed to move towards intermediate states have started and have produced results, but which give no indication that they can progress towards the intended long term impact.**
12. The evaluation finds that the target for project objective was met and is **satisfactory** as there is documented evidence that 15 requesting countries² have received one-on-one support to advance their NAP process in collaborating with other development partners through stocktaking, in-country training of multi-stakeholder NAP relevant teams, facilitation of stakeholder consultations, and development of NAP roadmaps.

² Angola, Bangladesh, Bhutan, Burkina Faso, Cambodia, Comoros, Djibouti, D.R Congo, Lesotho, Malawi, Madagascar, Mauritania, Nepal, Niger, Senegal, Sudan, The Gambia, Tanzania, Timor Leste

13. The achievement of **Outcome-level results was moderately satisfactory**, while recognizing the need for improved indicators to measure capacity and eventual impact.
14. **Socio-Political Sustainability:** The evaluation determined that as participation in the project was voluntary and required the deliberate opting-in by countries, it can be assumed that the level of political buy-in was high in the duration of the project, but there is no certainty that that will continue. As some countries have established NAP Focal Points³, others have sought project funding to achieve their national goals, while others have participated in the LEG process to request support for NAPs, the evaluation infers that there is socio-political sustainability of the NAP process. However, because many developing countries continue to depend on the provision of support for the operationalization of targeted institutional aspects of the NAP process, the sustainability of the GSP project, as a support mechanism, is less obvious. However, the integration of cross-ministerial staff at technical workshops promotes national ownership of the training obtained, and has been noted, through interviews, as having contributed to the heightened profile of NAPs at national level. The evaluation determines that the rating for **socio-political sustainability** of the project is **moderately likely**.
15. **Financial Sustainability:** The evaluation notes that while the project has leveraged some funds and that some countries have plans in place for mobilizing more, there remain challenges to attaining financial sustainability. The evaluation notes that the project supported the deployment of training sessions dedicated to climate financing.⁴ The evaluation also notes cases where external funding was sought and approved and donor country level support was leveraged. Countries have sought to mobilize resources beyond the original support received by the GSP through different methods: these have included the development of project proposals for submission to the GEF (PIFs) and the mobilization of bilateral funding through ongoing programs and partnerships. In addition, future resources that could be used to support NAPs are anticipated through the post-Paris agenda, and the LDCF. However, despite these encouraging prospects and avenues for the continuation of the NAP agenda, the evaluation finds three remaining issues:
 - (1) Project funding, although planned, is not guaranteed and may be unpredictable. Project funding requests are not necessarily markers of sustainability. There is at this stage no guarantee that all countries can or will access predictable sources of funding for their NAPs.
 - (2) Project-based funding can create dependence on external resources and piecemeal approaches to NAP planning. NAPs are intended to be country-driven, but if the NAP process is only to be funded through external resources, the extent to which there will be country ownership is questionable.
 - (3) Countries may submit projects that are not strictly NAP-oriented, and also address other environmental issues. This may potentially dilute the resources directed to NAP development and could create a situation whereby donors only support small portions of the NAP process, according to their preferences and priorities. Continuity and harmonization of the NAP process may be jeopardized by an overdependence on project-based funding.

³ Documented in PIR FY15 but no countries specified

⁴ Regional workshops included clinics on : Economics of Climate Change Adaptation, Climate Public Expenditure and Institutional Review, financing from vertical funds like the GEF, public and private sector finance, as well as access to Adaptation Fund or the Green Climate Fund.

Finally, while the purpose of the initial phase was to assist countries in launching their NAP processes, there was no guarantee that countries who benefited from support would continue to do so in the expanded NAP GSP, allowing them to continue to advance their NAPs. There is also no evidence to support that national resources would become available after GEF/UNDP/UNEP support. The overall rating of **financial sustainability** is **moderately likely**.

16. **Institutional Sustainability:** The evaluation found documented evidence of cross-sectoral participation and consultations. All stocktaking reports and draft roadmaps included references to future work and coordination; in some countries there are NAP focal points. Other than the creation of NAP teams, which, based on available evidence, appears more theoretical than operational, there was no documented evidence of new “governance structures, policies, sub-regional agreements, legal and accountability frameworks” that may have been created as a result of this project. Although it is noted that these were not necessarily anticipated as a direct outcome of the project, they can provide markers of institutional sustainability. As a result, the **institutional sustainability** is rated as **moderately likely**.
17. **Environmental Sustainability:** As the project is a capacity development project, there are no environmental risks that might threaten the sustainability of outcomes. The project participants are expected to contribute positively to global environmental sustainability, and to pursue interest in adaptation given climate change and associated impacts, and in the long-term develop the NAPs. A rating is not applicable: **N/A**
18. **Replication:** There is compelling evidence of factors that exist for scaling up for the project experiences. Most beneficiaries are in a transitional phase either having completed their stocktaking or draft roadmaps. This indicates a strong impetus for a continued process by which to complete and implement the outputs produced. There was also effective coordination between UNDP-UNEP and other multilateral and donor-country organizations, which lends itself to future collaborations and phases of this project. The evaluation finds this project **highly likely** to be replicated.
19. **Efficiency:** In terms of efficiency in programme management, there was strong evidence of satisfactory technical and financial oversight. The UNDP and UNEP joint project team were able to coordinate their activities efficiently and manage a large group of project partners. The shared working quarters of the team (Bangkok) led to time-efficiency and collaboration. However, it was noted that increased availability on the part of UNEP personnel could have increased efficiency and effectiveness. There was documented evidence of an adaptive approach to address financial constraints. There was evidence of use of effective means to achieve project results, such as: use of multilateral and donor country partners with valued added and comparative advantage in local contexts (WHO, FAO, GIZ, GWP, UNISDR, UNITAR); regional fora used to disseminate information and target regional blocs and multiple countries with given resources and online support (AAKNet, ALM, NAP Central, Library of Publications, Interactive NAP-GSP Timeline);
20. However, the length and duration of support that would be awarded to any given country does not seem to have been elaborated. This reduces the efficiency and likelihood of impact and sustainability of the programme as a whole, because although it may be possible to claim that a large number of countries have increased capacity, no single country could have developed adequate capacity needed to finalize its NAP process. In the view of the

evaluation, the efficiency of the program's approach is dependent on its ability to accompany countries throughout the entire process, which it may not be able to do in the absence of more significant financial resources.

21. There was also documented evidence of utilization of complementarities with WHO, FAO, IFAD, GIZ, GWP, LEG, UNFCCC, GEF, UNISDR, UNITAR for project delivery in order to maximize resources and build synergies. It was impossible to quantify the value of co-financing received through the mobilization of external partners to the GSP, however the evaluation found strong evidence to support that this exceeded the originally intended amount. Finally, the project was completed in due time. The evaluation found the project to be efficient given its resource constraints and global nature. The project was found **satisfactory** in terms of **efficiency**.
22. **Project Preparation and Readiness-** The evaluation found the documents at project design clearly articulated the **situation analysis**, and the **problem analysis** highlighting that at the time of project design, LDCs did not have the required institutional structures, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative NAP process. The main **problem** and the preferred solution were also presented clearly. The **intervention logic** highlights that as a result of the project, participating LDCs should have sufficient capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes with limited external support. However, there is the underlying assumption that the 12 LDCs will receive equal assistance in vulnerability analysis, economic assessment of adaptation options, climate resilient planning and budgeting, policy development leadership and management capacities⁵, and will achieve completion of (all) their NAP papers, which will leave them in an optimal state to complete their NAPs. There is also the assumption that once countries have received the tools (institutional, technical and knowledge-based) they will be able to apply them at the systemic level, in the absence of external technical or financial support.
23. The evaluation found that the programme design did not include a clear gender analysis. There was no evidence of any gender-disaggregated targets, indicators or gender equity goals. The evaluation also found that the results framework did not include any output-level indicators or targets and that this posed a challenge to the measurement of results. It is worth noting that the GEF does not require output-level targets and indicators, however the evaluation felt that these would have strengthened the programme considerably in terms of clarifying the chain of results and measuring results. The rating for **project preparation and readiness** is **moderately satisfactory**.
24. **Project Implementation and Management:** The project's management structure is made up of a complex execution modality with two agencies (UNDP & UNEP) and a number of project partners working together. The evaluation identified how UNEP and UNDP successfully implemented and managed this initiative. The rating for **project management and implementation** is assessed as **highly satisfactory**.
25. **Stakeholder Participation and Involvement:** There was strong evidence of participation of LDCs (15 one-on-one beneficiaries as well as the broader LDC group) as well as project partners. While cross-sectoral participation was mobilized at regional trainings, there was no documented evidence to suggest that vulnerable groups were included in project

⁵ UNEP: Project Document- "Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)". Page 26

implementation. There was some anecdotal evidence that gender was accounted for in participation of trainings and capacity building activities, for example in Mauritania, Guinea and Lesotho, where women's groups were invited and attended. There was documented evidence that countries were able to feedback into the project. The evaluation found **stakeholder involvement** at the time of project implementation was **moderately satisfactory**.

26. **Communication and Public Awareness:** Based on verbal accounts by stakeholders, as well as online evidence, stakeholders perceived channels of communication to be open with UNDP and UNEP. There is documented evidence of countries specifying needs particularly through draft stocktaking reports and roadmaps, and through feedback provided on regional workshops. There is also documented evidence of knowledge networks being established, technical guidance, and institutional capacity building being provided. There was however no documented evidence that capacities gained from the project were shared or mainstreamed at the national level in individual countries, or that adaptation knowledge trickled down to the greater public. The rating for **communication and public awareness** is **satisfactory**.
27. **Country ownership and Driven-ness:** At the project design level, country ownership and driven-ness is demonstrable through countries' engagement in LEG processes and desire expressed by opting into the global support programme. However, the lack of inclusion of countries in the project design stage may have hampered initial ownership of the project. There is also no apparent inclusion of marginalized or vulnerable stakeholders within LDCs. Country ownership is demonstrable through participation in regional workshops and trainings and activities carried out by project partners, however it is unclear to what degrees countries could orient the GSP support. The rating for **country ownership and driven-ness** is **moderately satisfactory**.
28. **Financial Management:** The evaluation found that financial management structures and processes were adequately set before the start of the project. There was evidence of consistency between total figures of planned and spent budgets. Strategic co-financing was leveraged. As per these findings the **financial management** of this project is rated as **highly satisfactory**.
29. **UNDP and UNEP Supervision and Backstopping:** The evaluation found that UNDP and UNEP effectively executed the project in terms of timeliness, finances, and administration. The timeframes planned at project inception were adhered to; an adaptive management approach was applied when facing a constrained budget. Joint workplans were developed and communication was maintained with project partners while leveraging their resources for training, and service dissemination. One of the challenges however, was that UNEP had part-time technical staff allocated to the project implementation, which seemed to have limited the amount of technical support that could be provided. In terms of guidance, both UNDP and UNEP could have applied their expertise in the area of developing SMART indicators for improved measurement of success and impact. They could also encourage the project to be less product/service oriented, and focus more on the application of these at the national level. Overall, the evaluation finds **supervision** and **backstopping** to be **satisfactory**.

30. **Monitoring & Evaluation:** An M&E Plan is provided in project documents. The evaluation however found that the budgets provided in the project documents were inconsistent. With regards to the indicators used to measure effectiveness and attainment of project results and objectives, the evaluation found that not all the indicators were specific, measurable, achievable, relevant, and time-bound (S.M.A.R.T). There were however no gender-disaggregated indicators provided in the results framework. Based on this assessment, the evaluation found the quality of the indicators to be **moderately satisfactory**. The rating for **Monitoring & Evaluation** is **moderately satisfactory**.

Table 1- Summary of Evaluation Ratings

Criterion	Overall Rating
A. Strategic relevance	Satisfactory
B. Achievement of outputs	Satisfactory
C. Effectiveness: Attainment of objectives and planned results	Moderately Satisfactory
1. Achievement of direct outcomes	Satisfactory
2. Likelihood of impact	Likely
D. Sustainability and replication	
1. Financial sustainability	Moderately Likely
2. Socio-political sustainability	Moderately Likely
3. Institutional framework	Moderately Likely
4. Environmental sustainability	N/A
5. Catalytic role and replication	Highly Likely
E. Efficiency	Satisfactory
F. Factors affecting project performance	
1. Preparation and readiness	Moderately Satisfactory
2. Project implementation and management	Highly Satisfactory
3. Stakeholders participation, cooperation and partnerships	Moderately Satisfactory
4. Country ownership and driven-ness	Moderately Satisfactory
5. Financial planning and management	Highly Satisfactory
6. UNEP and UNDP Supervision, guidance and technical backstopping	Satisfactory
7. Monitoring and evaluation	
i. M&E design	Satisfactory
ii. Budgeting and funding for M&E activities	Moderately Satisfactory
iii. M&E plan implementation	Satisfactory
Overall project rating	Satisfactory

31. Based on the findings of the evaluation, a number of lessons can be learned that can be of high relevance to future projects with similar goals.

Lesson 1: *Projects/programme can be effectively managed in joint collaboration by two different organizational entities.* UNDP and UNEP effectively managed this project and brought their value added to the initiative, while being able to leverage targeted support from external partners. Conditions, which made this possible, included: (i) shared office

sites, (ii) clear delineation of work and agreement on joint workplan; (iii) historical experience; (iv) separate budgets to be managed according to individual UN processes.

Lesson 2: *Multiple project partners can support successful implementation of the programme, particularly when budgets are limited.* Given that the project was global in scope, covering different regions and levels of adaptation planning, project partners with expertise in different contexts complemented the project team and conducted trainings, developed tools and methodologies and supported LDCs in their adaptation planning. Constant communication, demonstration of synergies and highlighting the importance of climate resilience relative to other project partners' work, allowed the GSP programme to leverage such support.

Lesson 3: *Sensitization and trainings will not automatically translate into capacity.* One of the broad assumptions in this project is that receiving particular technical, institutional and knowledge inputs will translate into capacity. It would be useful to deconstruct that assumption and examine the variables along that chain that can be improved for long-term sustainable capacity-building.

Lesson 4: *Countries seek opportunities to learn from one another's experiences and appreciate venues for South-South learning.* The feedback from interviews stressed how informative and appreciated the South-South interactions and case studies were in order to improve national planning. The partnerships built during this project should continue and serve as a source of meaningful accompaniment during the development of NAP-related policies. Rosters of South-based experts could be developed for support and consultation.

Lesson 5: *Stakeholder consultation at project design stage and during implementation could strengthen understanding of expected results, and improve project results.* The misunderstandings around project results and terminology could have been mitigated if stakeholder participation was solicited at the design stage. The causal pathways may also have been improved.

Lesson 6: *Programmes of support require indicators to document how trainings and capacity building will be converted to policy change.* One of the challenges with this programme of support, which is dealing with a process, is to monitor whether policy change occurs at the end. Specific indicators could be useful in discerning which are concrete policy shifts and changes that result from such a programme.

Lesson 7: *A project approach may not adequately capture the scope of this type of programming.* Given that the GSP is meant to be part of an ongoing process, the input-output project model may not adequately measure the impacts of such programming. This type of programming may be better characterized as an enabling activity under the GEF terminology.

32. While this phase of the project has been completed, the following phase and other iterations of this project can benefit from the following recommendations.

Recommendation 1: Despite being no longer required by the GEF, output-level indicators and targets could be maintained as an internal tool for improved assessment of results and key assumptions should be documented. All indicators and targets in the results framework should be SMART.

Recommendation 2: Terminology in results framework should be clearly defined, and disseminated to project stakeholders and beneficiaries.

Recommendation 3: Stakeholders should be involved at project design stage and regular feedback should be sought during implementation, in order to document more clearly the possibilities of policy change after policy support has been received.

Recommendation 4: This project's success in terms of leveraging support from project partners, building complementarities and using synergies should be replicated in other initiatives under UNFCCC process.

Recommendation 5: A clearer implementation strategy should be expressed before inception (for example, targeting and selection of beneficiaries) to avoid disappointed expectations.

Recommendation 6: Gender should be better integrated into the project. Gender-disaggregated indicators can be used to assess results relative to gender, and a gender analysis could be integrated in the Theory of Change. Regional technical workshops can focus some programming on climate resilience and how it intersects with gender. Gender targets can be established for female participation.

1 INTRODUCTION

1. In line with the GEF Monitoring and Evaluation Policy, this Terminal Evaluation is undertaken at completion of the project, “Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)” (otherwise known as NAP Global Support Program) to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential), including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP, and the main project partners including IFAD, WHO, FAO and UNITAR. It is hoped that this evaluation will identify lessons of operational relevance for future project formulation and implementation, and in particular, for the forthcoming Expanded NAP Global Support Programme (GSP).

2. The National Adaptation Plans (NAPs) process was established to support LDCs in bolstering their medium- to long-term adaptation planning capacity within existing national planning processes at the national, sectoral and local level. Parties to the UNFCCC defined the NAP as a “continuous, progressive and iterative”⁶ process to enable LDCs to identify and communicate their vulnerabilities and identify, implement and communicate their adaptation actions at the national, sectoral and local levels, as well as within the international, multilateral process of the Convention. Contrary to their predecessors, the National Adaptation Programmes of Action (NAPA), NAPs were conceived as institutional frameworks and processes rather than as documents or programmes of actions, although a key feature of NAPs remains the identification and prioritization of adaptation actions. Guidance on how to develop NAPs was developed by the Least Developed Country Group (LEG) under the UNFCCC, which provides key elements of the process that can be summarized as follows⁷:

- A stocktaking phase, in order to build on existing initiatives and lessons from other programmes, including the NAPAs
- An institutional capacity building phase, which includes formal mandates, institutional leadership and decision-making mechanisms
- A planning and prioritization phase, during which medium and long-term adaptation objectives are identified and mainstreamed into development plans
- A monitoring phase, that allows for results tracking and iterative planning.

3. In this context, the goal of the Global Support Programme (GSP) was “to facilitate effective medium- to long-term planning for adaptation to climate change in Least Developed Countries”. The objective of the programme was “to strengthen institutional and technical capacities for iterative development of comprehensive National Adaptation Plans (NAPs) in Least Developed Countries (LDCs)”. The primary problem the GSP sought to address was the LDCs’ lack of institutional structures, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative NAP process. The GSP support mechanism was thus designed to:

⁶ From the submission by the United States of America

⁷ See Technical guidelines for the national adaptation plan process, LDC Expert Group, UNFCCC, 2012.

- i) be flexible to the needs of each LDC;
- ii) offer a package of services that could easily be tailored to the circumstances of each LDC;
- iii) leverage and build on UNDP and UNEP's long-standing assistance to LDCs in capacity development and climate change adaptation, including on-going programmes; and
- iv) facilitate a coordinated response by other interested agencies and parties to assist LDCs with transitioning to medium- to long-term adaptation planning.

4. The project was supported through the GEF-administered Least Developed Countries Fund (LDCF) with resources of US\$1,998,000 in total through two Medium-Sized grants – US\$999,000 channelled through UNEP and US\$999,000 channelled through UNDP for the period of 2013-2015. The expanded phase of the programme is currently in PPG phase and due to begin later on in 2016, also with funding from the GEF/LDCF.

5. In contrast to other, similar processes under the Convention, known as “enabling activities”, the GSP did not entail the direct channelling of funds to individual countries to realize their NAPs. Rather, since the NAPs were conceived as nationally-owned, development-oriented processes, the GSP sought to facilitate capacity building in order to lift any institutional constraints to the development or establishment of NAPs.

6. The project assisted 48 LDC countries in initiating their NAP process through workshops and indirect technical assistance, and also provided direct, “one-on-one” assistance to 15 countries in the first stages of their NAP process. UNDP and UNEP acted as the GEF Implementing Agencies (IAs) for this project. UNDP provided oversight of Outcome 1, UNEP of Outcome 2, and both agencies provided oversight support to Outcome 3. In addition, a network of multilateral and bilateral partners (GIZ, GWP, FAO, UNOPS, UNISDR, UNITAR, WHO) also collaborated and assisted in the delivery of project outputs and activities. The main activities of the GSP included workshops and training, awareness raising, the production of guidelines and documents, and direct support through consultancies.

1.1 Scope and Purpose

7. The purpose of this Terminal Evaluation is to assess the project's performance in terms of relevance, effectiveness and efficiency, and to determine its outcomes and impacts (actual and potential) as well as its sustainability. For the purposes of this evaluation, we consider that the project has concluded. An expanded phase of the GSP is scheduled to begin in 3rd quarter of 2016.

8. The findings of the evaluation are largely based on a desk review of key programme documents at design and implementation stage, as well as interviews with key informants. The following groups were consulted (for a list of interviewed stakeholders:

- Beneficiaries (in person and through a questionnaire)
- UNEP Task Manager
- UNDP Regional Technical Advisor (RTA)
- UNEP Programme executing teams (Regional Office for Asia Pacific (ROAP))
- UNDP Programme executing teams

- Programme partners, including IFAD, FAO, UNITAR and GIZ, and other internal and external partners;
- The Project Board members;
- LEG representatives

9. The purpose of the desk reviews and consultation with stakeholders was to assess whether the programme accomplished what it had set out to achieve, to understand what happened during programme implementation, why it happened the way it did, and what would have happened without the project.

10. This analysis seeks to provide lessons learned from the programme, which can in turn be communicated with relevant stakeholders, and potentially inform future phases of support to LDCs throughout the NAP process.

11. In accordance with the Terms of Reference, and UNEP, UNDP and GEF requirements, the evaluation assessed the project with respect to a minimum set of evaluation criteria grouped in six categories:

- (1) Strategic Relevance;
- (2) Attainment of objectives and planned result, which includes the assessment of outputs, achieved, effectiveness and likelihood of impact;
- (3) Sustainability and replication;
- (4) Efficiency;
- (5) Factors and processes affecting programme performance including: preparation and readiness; implementation and management; stakeholder participation and public awareness; country ownership and driven-ness; financial planning and management; UNDP & UNEP supervision and backstopping; and programme monitoring and evaluation; and
- (6) Complementarity with the UNDP & UNEP strategies and programmes.

12. As allowed for in the TORs, the evaluation consultant has added a few additional evaluation criteria such as meeting of project targets and milestones and quality of indicators. The complete evaluation matrix can be found in the inception report.

1.2 Limitations

13. One major limitation to this evaluation was that it was scheduled to coincide with preparations for the COP 21 UNFCCC negotiations. As a result, it was difficult to obtain beneficiary feedback. Despite the evaluator's best efforts to complete in person, phone/Skype interviews, and to circulate questionnaires, it was difficult to obtain meaningful participation. Only three beneficiaries were contacted in person through in-person interviews, with a few more views gathered through informal discussions before and during COP21⁸; two more countries responded to the questionnaire. However, the evaluation was able to obtain direct interviews with most of the GSP's multilateral partners.

⁸ A few opportunities to share views with GSP beneficiaries were availed, namely: the NAP workshop held by the LEG in Niger in October 2015, the ADP meetings under the UNFCCC in Bonn in November 2015 during which a GSP Board meeting took place, and the COP 21 in Paris, in Nov-December 2015.

As a result, our evaluation is largely based on documentary evidence and informal exchanges around the NAP process.

14. It may be advisable for the Evaluation Office, in future instances, to plan evaluations at times when there are no major international meetings planned, and for project implementers to integrate the documentation of stakeholder feedback throughout project implementation, to facilitate evidence gathering.

15. Another limitation consisted in the inability by the evaluation team to triangulate some of the evidence obtained. While the evaluation sought to confirm all evidence through multiple sources, in some cases, information was not readily available. For example, when analysing the financial sustainability, the evaluation encountered evidence that countries had submitted project requests to support their NAPs, indicating a possible trend towards financial continuity. However, due to lack of documentation and time, the team was not able to triangulate this evidence through project concepts or programming documents. While the evaluation has no doubt that the support leveraged by the GSP through its partners was concrete and effective, we were not able to determine its monetary value. It may be advisable to ensure more adequate tracking of financial resources leveraged through the GSP, during the expanded NAP GSP.

2 THE PROJECT

2.1 Project context and summary

16. This project emerged out of the recognition that LDCs are particularly vulnerable to climate change and that they require stronger capacity to adequately adapt to the negative impacts of climate change. The first approach to address LDCs' vulnerability was launched at the seventh session of the Conference of the Parties (CoP-7) to the United Nations Framework Convention on Climate Change (UNFCCC), where the decision was made to develop the National Adaptation Plans of Action (NAPA) for climate adaptation in LDCs.⁹

17. Following the establishment of the NAPA framework and subsequent development of NAPA projects, it was assessed that while immediate and urgent climate change impacts were being addressed by the NAPA, long-term climate change planning had to take place. Consequently, a process was initiated at CoP-16 to enable LDCs to formulate and implement National Adaptation Plans (NAPs).¹⁰ At CoP 17 Parties established the NAP's objectives: (i) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and (ii) to facilitate the integration of climate change adaptation in a coherent manner into new and existing policies, programmes and activities. The objectives pertain particularly to development planning, processes and strategies within all the relevant sectors. The COP also requested the LDC Expert Group (LEG) to produce guidelines for the preparation of NAPs, which were published in 2012 and provide a canvas on which most countries' NAP processes are based.

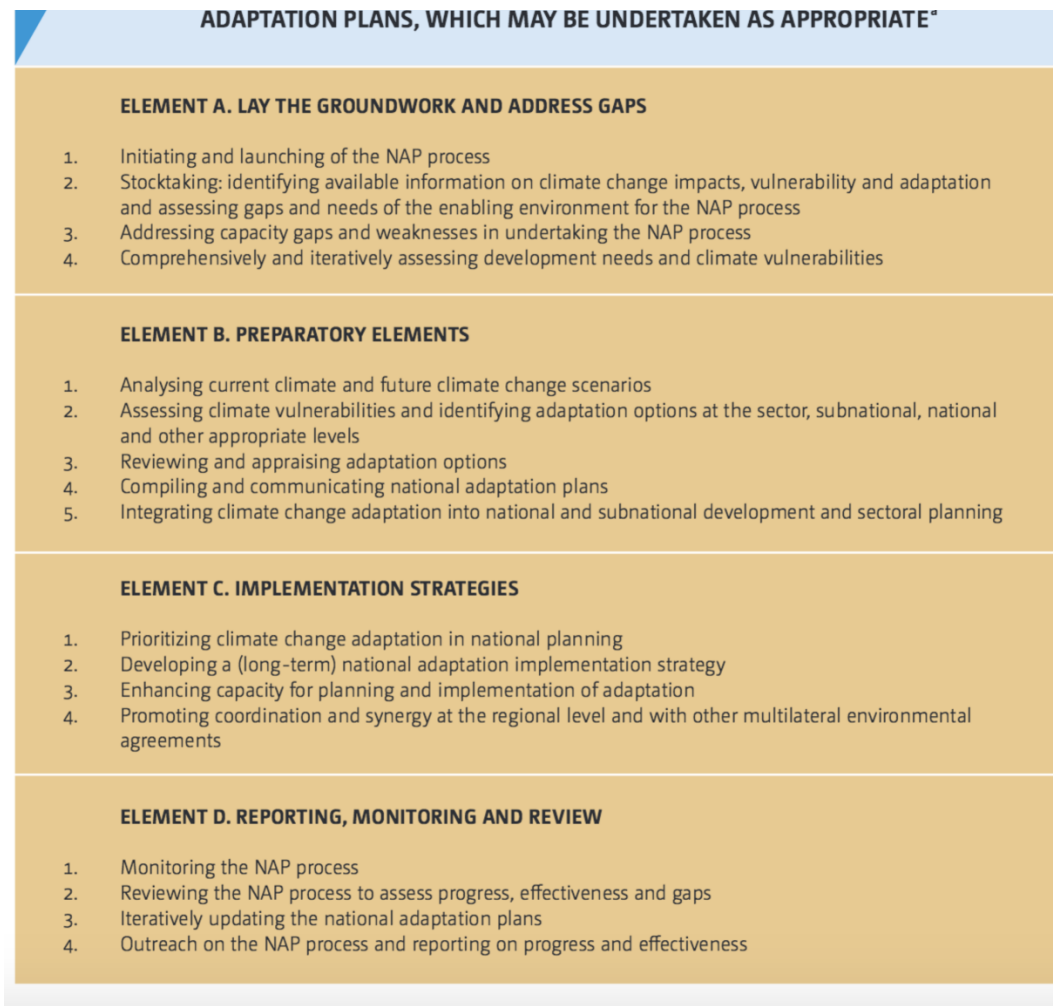
18. This project responds to these processes and was intended to espouse the key underpinning principles that the NAPs should be:

- Participatory, country-owned and country-driven and fully transparent;
- Multidisciplinary, leading to integration of adaptation into development;
- Complementary to existing plans, programmes and mechanisms;
- Oriented towards sustainable development;
- Guided by sound environmental management;
- Guided by gender-sensitive approaches;
- Considerate of vulnerable groups, communities and ecosystems;
- Guided by best available science;
- Cost-effective in the wider context of sustainable development; and
- Iterative, flexible and dynamic and continuous with clearly set time frames

19. The key elements of the NAP process as mentioned in the guidelines provide the backdrop against which this GSP was created. Under the GSP, capacity building was oriented towards the completion of these key steps towards the NAP design. These are highlighted in the figure below:

⁹ Decision 5/CP.7

¹⁰ Culminated in Decision 5/CP. 17



20. Very few countries have developed NAPs to date, not all of which were recipients of GSP direct support. Examples of key products or outputs of the NAP process include: the development of roadmaps, the creation of steering committees, the development of monitoring and evaluation frameworks, the design of sectoral plans of action, or the inclusion of adaptation priorities into development plans. Because each country is entitled to design its own NAP process, there was no standardized approach to support.

21. It should be noted that the NAP process itself is intended as a long-term planning framework, and therefore as something that would be integrated in country-owned systems. Setting up this NAP process, however, requires a set of institutional mechanisms, decisions and assessments that can be delivered within the short to medium term. In theory, the GSP was established to assist countries in this setting-up exercise. In practice, owing to resource limitation, the GSP was not able to accompany countries throughout the entire setting up process, but rather provided support for the initiation of it.

2.2 Implementation Arrangements

22. The project's management structure is made up of a complex execution modality with two executing agencies (UNDP & UNEP) and a number of partners working together.

23. For UNEP, the Division of Environmental Policy Implementation (DEPI) was tasked as the Implementing Agency and the Regional Office for Asia and the Pacific (ROAP) as the executing agency. For UNDP, the project was executed under UNDP's Direct Implementation Modality (DIM). The UNDP-Asia Pacific Regional Centre (APRC) (now renamed as the UNDP Bangkok Regional Hub) agreed to function as a responsible unit related to recruitment of project staff and consultants, travel, sub-contracting, organisation of regional and national workshops. For ease of coordination the project management team was located in the same site (Bangkok, Thailand).

24. The Project Board met annually to provide guidance and measure progress according to annual workplans; it was composed of representatives from:

- UNDP
- UNEP
- UNFCCC
- LDC Expert Group
- FAO
- GWP
- UNITAR
- WHO

25. The project team was composed of a Lead Technical Specialist (UNDP), Technical Specialist (UNEP), one cost-shared Knowledge Management Specialist from both UNDP and UNEP; two project assistant positions (UNEP & UNDP).

2.3 Objectives & Components

26. According to the project document, the goal of this LDCF programme was to facilitate effective medium- to long-term planning for adaptation to climate change in LDCs. The programme objective was to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in LDCs. There were three Components under this project as detailed below:

Table 2: Original Project Results Framework

Overall Goal: To facilitate effective medium to long-term planning for adaptation to climate change in LDCs.		
Objective: To strengthen institutional and technical capacities for iterative development of comprehensive NAPs in LDCs		
Component	Outcomes	Outputs
Component 1: Institutional Support	Outcome 1: Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets	Output 1.1 Stock-take of information and processes that are of relevance to the NAP process in the country and identification of gaps. This will include ensuring that key stakeholders are engaged in taking stock of on-going initiatives of relevance to NAPs, defining the scope of key requirements and expectations, and assessing the gaps and needs – in terms of information, skills and institutional capacity – for advancing medium- to long-term planning and budgeting processes for adaptation in the context of country specific planning processes and guidance emerging from the COP
		Output 1.2 National and sub-national institutional and coordination arrangements established, including financial and other requirements for advancing to medium- to long-term adaptation planning and budgeting
		Output 1.3 NAP papers are formulated, including elements for monitoring the progress of their implementation. The NAP papers will be country-specific and flexible, outlining country-specific gaps that need to be filled, budget support required (including an inventory of national or international expertise and other inputs), and timelines for deliverables related to the advancement of NAPs, including reporting on progress to the LEG, AC,

		UNFCCC subsidiary bodies, etc. The NAP papers will contain information that can be submitted to the LDCF and/or other funding sources with the aim of obtaining the additional finance necessary to support and advance the NAP process in the country concerned.
Component 2: Technical Support	Outcome 2: Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to LDCs	Output 2.1 Technical guidance tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in local languages and usable formats and where necessary, developed in partnership with relevant stakeholders. Effort will be made use existing sectoral guidance and support, as is being developed by other organisations, rather than create new ones. For example, for health, WHO is currently developing guidance that covers vulnerability and assessments, economic tools, gender, early warning systems, indicators for health system resilience and health sector-related NAP guidance
		Output 2.2 National teams are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.
		Output 2.3 Web-based training materials prepared for use by countries as they commence their respective NAP processes.
Component 3: Brokering Knowledge	Outcome 3: Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process	Output 3.1 South-South and North-South transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesised and made available to countries to utilise in advancing the NAP process.

2.4 Target Areas & Groups

27. The project was universal in scope but support was channelled based on requests for support. The target group of intended beneficiaries were the LDCs. The support mechanism was staffed and financially resourced to assist LDCs with one-on-one support to develop elements of the NAP process. By the end of the project, 16 LDCs received one-on-one support which included: Angola, Burkina Faso, Cambodia, Comoros, Democratic Republic of Congo, Djibouti, Guinea, Lesotho, Liberia, Madagascar, Malawi, Mauritania, Niger, Senegal, Tanzania, The Gambia. All other LDCs benefited from indirect support, for example through regional training workshops or the development of guidelines and technical papers.

28. The list of beneficiary LDCs was approved by the Project Board; no selection criteria were made apparent to the evaluators (although were stated to be developed during the inception phase), aside from the need to submit a request and the availability of funds. In addition to the 16 LDCs who received one-on-one support, all LDCs with the exception of Eritrea received technical support under Components 2 and 3 through technical workshops.¹¹ Within national governments, the project targeted their interventions towards Ministries of Environment, Finance and Planning.

¹¹ NAP GSP Project Board Meeting Minutes 16-17 August, 2013

2.5 Milestones/Key Dates in Project Design and Implementation

29. The delivery of key project milestones was in line with the intended delivery plan.

Table 3- Deliverables & Timeframe

	Deliverables	Target	Timeframe
Outcome 1 <i>Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets</i>	Clearly defined institutional mandates and capacities	12	Within two years
	Country needs assessments, stocktaking and stakeholder assessments carried out and proposals for advancing NAPs finalised	12	Within two years
Outcome 2 <i>Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs</i>	LEG-peer reviewed technical tools and methodologies for institutional capacity assessments	As required	Continuous
	Step-by-step guidance to support planning for climate resilient development	1	First six months
	Examples and case studies	At least 5	Continuous
Outcome 3 <i>Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process</i>	A web-based platform available	1	First three months
	A database for national and regional experts to support the process	1	First one year
	Partnerships with regional and global institutions established	10	Continuous
	Lessons, experiences and practices shared via different methods		Twice a year
	South-south knowledge transfer events	4	1-2 times a year per region

Source: Project Document- Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPS); Appendix 7: Key Deliverables & Benchmarks

2.6 Project Financing

30. The project was supported by LDCF resources of \$1,998,000 in total – US\$999,000 for administration by UNEP and US\$999,000 for administration by UNDP –for the period of 2013-2015. The breakdown of the budget across the components is presented in Table 4 below.

Table 4- LDCF funding

	UNDP	UNEP	Total
Component 1: Institutional support	737,000		737,000
Component 2: Technical support		631,000	631,000
Component 3: Brokering of knowledge	180,000	270,000	450,000
Programme management costs	82,000	98,000	180,000
Total	999,000	999,000	1,998,000

31. Co-financing at project design was expected to be as follows:

Table 5: Programme co-financing initiatives

Co-financing	Type of Co-financing	Amount (\$)
UNDP-ADAPT Capacity-building programme	In-kind	1,150,000
UNDP-KCIG initiatives	In-kind	30,000
UNDP-APRC Strengthening the Governance of Climate Change Finance	In-kind	4,600,000
UNEP-PROVIA	In-kind	500,000
UNEP-APAN	Grant	1,500,000
UNEP-AAKNet	Grant	500,000
UNDP-Communities of Practice	In-kind	120,000
		8,400,000

2.7 Project Partners

32. The evaluation found evidence of active participation by the following project partners undertaking the detailed roles presented in Table 6 below:

Table 6- Project Partners

Type of Partner	Project Partner	Role
Multilateral Partners:	<ul style="list-style-type: none"> - Food & Agriculture Organization (FAO), - Global Water Partnership (GWP), - International Fund for Agriculture Development (IFAD), - Least Developed Countries Expert Group (LEG), - Nairobi Work Programme, - United Nations Framework Convention on Climate Change (UNFCCC), - United Nations Office for Disaster Risk Reduction (UNISDR), - United Nations Institute for Training and Research (UNITAR), - United Nations Office for Project Services (UNOPS), - World Health Organization (WHO). 	<ul style="list-style-type: none"> - Development and delivery of training manuals and tools, skills assessment documents, NAP supplements - Workshop delivery (regional and country-level trainings) - Advisory role, exchange of knowledge and information - Development of online interactive mechanisms (central websites, e-introduction tools)
Bilateral Partners:	<ul style="list-style-type: none"> - GIZ, - Japan (funding only) 	<ul style="list-style-type: none"> - Country-level and regional trainings on the NAP - Funding for NAP-related activities - Development and training on NAP tools
Knowledge / Information Networks:	<ul style="list-style-type: none"> - African Adaptation Knowledge Network (AAKNET), - Asia-Pacific Adaptation Network (APAN), - Global Programme of Research on Climate Change Vulnerability Impacts and Adaptation (PROVIA) 	<ul style="list-style-type: none"> - Providing access to/disseminating web-resources, data and information - Fostering partnerships and collaborations - Convening LDCs unable to attend regional trainings at APAN events

2.8 Changes in Design during Implementation

33. The evaluation did not uncover any substantial changes in design during implementation. However, it was noted that adjustments were made to the implementation strategy. For instance, in order to meet budget constraints, the evaluation found that consultants were hired rather than staff. Budget from staff lines was then made available for other costs (notably inviting cross-ministerial staff to regional workshops).

2.9 Reconstructed Theory of Change

34. The project is premised on the idea that by providing targeted institutional and technical support and knowledge brokering, LDCs will be able to enact “effective medium- to long-term planning for adaptation to climate change”. The support program was designed to provide individually tailored support to countries, depending on their needs. Under institutional support, the project sought to strengthen the capacity of individuals and institutions that were designated as key participants in the NAP process. The project also provided support towards the development of key NAP elements to enable LDCs to advance medium- to long-term planning for climate change adaptation. These elements, or outputs, are referred to as NAP papers. The GSP did not explicitly seek to assist countries in producing final NAP documents and there was an implicit understanding among participants that full-fledged NAPs would not be achieved in the short term. Finally, the project also developed tools and methodologies that supported key steps of the NAP process. Finally, in terms of knowledge brokering, the project expected to facilitate the exchange of knowledge and lessons learned (e.g. through South-South and North-South cooperation) with a view to enhancing the capacity for advancing the NAP process within LDCs.

35. This project assumed that with small-scale punctual support in these three areas (institutional, technical and knowledge-brokering support), participating LDCs would have developed sufficient capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes. See Table 2 for logical framework.

36. The terminal evaluation examined programme causality by observing the programme’s intended results through the review of the logical framework and its associated programme narrative (refer to table 2 above).

37. While examining the causal pathways, it was determined there were some shortcomings in the formulation of outcomes, and, therefore, in the underlying results logic. The analysis of outcomes proposed in the project design documents showed that a few of the project’s results were cast at a lower level than intended. For example, Outcome 2, as it is formulated in the original logframe, (see table 2 above) constitutes an output level result, because it represents the direct, immediate product of the activities to which it refers (“production of tools and methodologies”). On the other hand, Outcome 3 (“exchange of lessons”) is itself formulated as an activity, rather than as a change in state or behaviour resulting from an activity.

38. In reconstructing the logical pathways for this project, the evaluation found that the “exchange of lessons”, the production of “tools and approaches”, as well as all the outputs listed above, were actually means by which to achieve Outcome 1, the capacitation of LDCs. In fact, many of the original outputs read more as an activity, meaning “an operation or

work that a party would perform” to attain a given result (e.g. transfer information, stocktake information, develop technical guidelines, utilize tools and approaches and prepare web-based materials).

39. The impact-level indicator reads “number of countries sensitized on functional and operational individual, institutional and systemic capacities to develop medium-and long-term National Adaptation Plans”. While the formulation of this indicator allows for flexibility in measuring the results of the project (for example by not being tied to a strict measure of capacity for each country), the assumption is that being “sensitized about capacity” actually leads to being capacitated. This, in the view of the evaluation, is a flaw in the formulation of the indicator, which should have sought to measure the change in capacity rather than a change in “sensitization”, which is one step removed from the intention of the project. The indicator also does not allow for an actual tracking of impact at country level and limits the GSP to process-oriented indicators of success. For example, a larger number of countries sensitized or capacitated are not necessarily an indication of the change in capacity. The indicator is focused on the supply of service, rather than on the impact of said service.

40. In addition, there are missing steps in the causal pathway between Output 1.1 and Outcome 1. In this case, there is a logical leap that stocktaking and identification of gaps under Output 1.1 is in itself sufficient to lead to “capacitated LDCs” under Outcome 1. As noted above, the analysis of the logic of the project shows that all of the outputs of the project are actually needed to contribute to capacity for NAPs.

41. The analysis also considered the appropriateness of project indicators. The evaluation noted the absence of output-level indicators, which did not allow for an in-depth analysis of performance. Program-level indicator “Number of countries sensitised on functional and operational individual, institutional and systemic capacities to develop and advance medium- to long-term National Adaptation Plans” are not easily measurable (see Section 3.4 on indicators).

42. There are undocumented drivers, assumptions and intermediate states in the original Theory of Change. For example, achieving Output 1.3 (NAP papers are formulated, including elements for monitoring the progress of their implementation) is insufficient for Outcome 1 to fully be realized. Other drivers of capacity need to be addressed, including for example institutional stability, legal frameworks, financial resources, etc.). While the GSP can contribute to partial capacity development, it cannot, through the scope of its support, lead to countries be capacitated to establish NAPs.

43. A reconstructed theory of change is therefore proposed below with a reformulated outcome and outputs and documented assumptions, drivers, and intermediate states. Below, we propose a single, intermediate outcome, which is based on the former Outcome 1. The former outcomes (2 & 3) were formulated as output-level results (e.g. as conditions for outcome 1 to be achieved), which is how they are now represented in the Theory of Change (ToC). The single outcome encapsulates what the evaluators view as the main outcome of the project. We also propose a new goal, which is closer to the intent of NAPs as processes, as follows: “To establish institutions, policies and plans for medium-term climate adaptation”. The figure below also documents the key assumptions and drivers of impacts present in the original design. Finally, the evaluation also proposes to reformulate one output (output 1.3) for the reconstructed Theory of Change in order to remove any

confusion between the final NAP document and its elements, which can all be encompassed in the catch-all term “NAP papers”.

Established institutions, policies and plans for medium-term climate adaptation

Assumption: NAPs are iterative and adaptable and reflect optimal policy options for adaptation

Assumption: Strengthening institutional and technical capacities will lead to comprehensive and effective NAPs

Intermediate state: Integration of adaptation into the existing mainstream development and poverty reduction plans and budgets of the countries

Driver: Countries are able to apply trainings/tools to institutional level adaptation

Driver: Tools are suited to national context

Outcome – (Formerly immediate outcome 1) Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets

Assumption: Political will and finances availed

Intermediate state: countries apply training gained, technical tools accessed and knowledge brokered to national context to respond to gaps identified

New Output 1.4 (formerly Outcome 3) Countries exchange lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the NAP process

Output 1.2- National and sub-national institutional and coordination arrangements established/ strengthened in 12 LDCs, including financial and other requirements for advancing medium- to long-term adaptation planning and budgeting.

Output 1.3 NAP elements are formulated, including elements for monitoring the progress of their implementation.

New Output 1.1- All LDCs have access to tools, methodologies and approaches to support key steps of the National Adaptation Plan process.

Driver: Lessons learnt and activities carried out are applicable to national context

Assumption: Political will exists

Activity transfer South-South and North-South technical and process-orientated information on experiences, good practices, lessons and examples of relevance to medium- to long-term national, sectoral and local plans and planning and budgeting processes and capture, synthesise and make available to all LDCs to utilise in advancing the NAP process

Activity Stock-take of information and processes that are of relevance to the NAP process in the country and identify key gaps to integrate climate change into medium- to long-term planning processes.

Activity Develop technical guidance tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices, in partnership with relevant stakeholders, and make them accessible in local languages and usable formats to all LDCs.

Activity Train national teams in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.

Activity Prepare web-based training materials for use by all LDCs as they commence their respective NAP processes.

3 EVALUATION FINDINGS

3.1 Strategic Relevance

44. In terms of strategic relevance, the evaluation found that the project was designed with a sound regard for the international policy context and for individual countries' national policy processes. Appropriate linkages to the guidance from the COP and mandates of implementing agencies were referred to in the project design document, and maintained throughout project implementation. In particular, the participation of the LEG and the UNFCCC Secretariat allowed for a continued maintenance of linkages between the GSP and the overall UNFCCC-inspired NAP process.

45. The evaluation also found that there was sufficient flexibility in the overall design of the GSP to allow for individual country processes and priorities to evolve in line with their national circumstances. One additional area which may have warranted added clarification in the project design document could have been the link between the GSP as a support platform and the other ongoing support processes for adaptation, including for example the Green Climate Fund readiness support, the GEF and Adaptation Funds, as well as bilateral and multilateral cooperation programmes.

46. There is evidence of linkages with UNEP' Medium-term Strategy (MTS) 2014-2017 and Programmes of Work 2012-2013 and 2014-2015; as well as UNDP's Strategic Plan 2014-2017; UNEP's MTS identifies climate change and environmental governance as two of its four focus areas. The project is in line with Expected Accomplishment 1 (EA/1) on climate resilience in the UNEP MTS (2014-2017). The project is also in line with UNDP's Strategic Plan (2014-2017), which identifies resilience-building as a key Area of Work (Area of Work 3). The Common Country Assessment (CCA) and UNDAF are referred to in project documents, and the CEO Endorsement contains reference to UNEP mandate. However, the evaluation found that more explicit linkages and references to key programming documents, such as the Bali Strategic Plan, the LEG guidelines or UNDP Strategic Plan and national policy documents could have been included in the project documents.

47. The evaluation noted the absence of clear country selection criteria and a transparent country selection and resource allocation process. Rather, the project board directed the project to respond to all requests from LDCs received at the time of project inception. While countries were required to opt-in for one-on-one support, there was no clear selection criteria put forth by the project.

48. The reference to NAP papers in the project document, while intended to provide flexibility of approaches at the national level, may have led to added confusion on the nature of NAPs themselves (e.g. "documents" vs "processes") and therefore, to the intentions of the GSP as a support mechanism. Nevertheless, the evaluation found that the project was adequately framed within the mandates and strategic plans and policies of the GEF, UNDP and UNEP, as well as within the priorities of GSP partners. The evaluation also found that the support provided was in line with current guidance on NAPs as processes.

As a result of this assessment, the overall rating for **strategic relevance** is **Satisfactory**.

3.2 Achievement of Outputs

49. In terms of analysis of achievement of the outputs, this sub-section refers to the former outputs provided in the results framework of project documents and not to those referred in the reconstructed theory of change. The achievement of results under the RTOC is provided in the following section.

Table 7: Outputs

Output 1.1 Stock-take of information and processes that are of relevance to the NAP process in the country and identification of gaps. This will include ensuring that key stakeholders are engaged in taking stock of on-going initiatives of relevance to NAPs, defining the scope of key requirements and expectations, and assessing the gaps and needs – in terms of information, skills and institutional capacity – for advancing medium- to long-term planning and budgeting processes for adaptation in the context of country specific planning processes and guidance emerging from the COP
Output 1.2 National and sub-national institutional and coordination arrangements established, including financial and other requirements for advancing to medium- to long-term adaptation planning and budgeting
Output 1.3 National roadmaps on the NAP process are formulated, including elements for monitoring the progress of their implementation. The roadmaps will be country-specific, outlining country-specific gaps that need to be filled, budget support required (including an inventory of national or international expertise and other inputs), and timelines for deliverables related to the advancement of NAPs, including reporting on progress to the LEG, AC, UNFCCC subsidiary bodies, etc.
Output 2.1 Technical guidance tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in local languages and usable formats and where necessary, developed in partnership with relevant stakeholders. Effort will be made use existing sectoral guidance and support, as is being developed by other organisations, rather than create new ones. For example, for health, WHO is currently developing guidance that covers vulnerability and assessments, economic tools, gender, early warning systems, indicators for health system resilience and health sector-related NAP guidance
Output 2.2 National teams are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.
Output 2.3 Web-based training materials prepared for use by countries as they commence their respective NAP processes.
Output 3.1 South-South and North-South transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesised and made available to countries to utilise in advancing the NAP process.

50. With regards to **Outputs contributing to Outcome 1- “Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets”**, the evaluation found the achievement of results **Satisfactory** based on the following assessment:

51. With regards to the Output 1.1 “Support national teams to stock-take of information and processes that are of relevance to the NAP process in the country and identification of key gaps to integrate climate change into medium- to long-term planning processes”, documentation provided during the evaluation supported the assertion that that at least 12 national teams¹² were supported to undertake a stock-take of information and were at

¹² The first 12 countries to initially receive one-on-one support through the GSP (by the end of the project 15 countries received one-on-one support) according to documents reviewed were: Angola, Cambodia, Comoros, Djibouti, The Gambia, Lesotho, Madagascar, Malawi, Mauritania, Niger, Senegal, Tanzania

various stages of the exercise. For example Cambodia, Comoros, Madagascar, Gambia, Lesotho, Liberia and Niger completed draft stocktaking reports, while stocktaking was underway in Djibouti. While the quality of stocktaking reports varied from country to country, the overall quality of those reviewed is generally high, with thorough assessments of current limitations and concrete plans for future roadmaps.¹³

52. The evaluation found Output 1.2 “National and sub-national institutional and coordination arrangements established/strengthened in 12 LDCs, including financial and other requirements for advancing medium- to long- term adaptation planning and budgeting” challenging to assess. It was not stated how “coordination arrangements” were to be measured and there was no indication of what constituted an adequate coordination arrangement. For instance: are coordination arrangements strengthened by holding a multi-sectoral meeting, or are arrangements strengthened by concrete outputs such as MOUs or joint policy documents? While it is understood that this formulation was intended to allow for flexibility in the national approaches, without an indicator, the output is left to the subjective interpretation of the reader. Furthermore, there was no evidence that financial and other requirements were explicitly identified or addressed through the initial GSP support.

53. Based on stakeholder interviews, it appears as though many countries may have been awaiting the availability of more significant financial resources prior to designating official focal points, steering committees and other arrangements. While some countries had advanced a process towards the designation of such mechanisms, others had not been able to mobilize the political muster and resources to do so.

54. However, the evaluators noted the existence of NAP focal points in most countries, and in some cases, the reference to new institutional arrangements (for example, Cambodia). The evaluators also noted the participation of cross-sectoral government actors (Environment, Planning and Finance ministries) to NAP trainings, which likely contributed to strengthen sub-national coordination and institutional structures. While new structures are referred to in stocktaking reports, there was no evidence made available to the evaluators suggesting that new institutional structures are in place. The evaluators also noted that some countries also benefitted from trainings on climate finance, which provided technical assistance in formulating bankable proposals to access finance for NAP elements and roadmaps, and which may have contributed to strengthening financial resource mobilization capacity. While proposals may be developed at the time of writing (Rwanda), and a future GSP is envisaged, there is no evidence that new financial arrangements have been established for financing NAP-related needs.

55. Output 1.3 provided in the results framework is presented as: “National framework and strategy developed to advance Outcome 1.” This output is further qualified by the following text:

“The NAP Papers will be country-specific and flexible, outlining country-specific gaps that need to be filled, budget support required (including an inventory of national or international expertise and other inputs), and timelines for deliverables related to the advancement of NAPs, including reporting on progress to the LEG, AC, UNFCCC subsidiary bodies, etc. The NAP papers will contain information that can be submitted to the LDCF and/or other funding sources with the aim of obtaining the additional finance necessary to

¹³ Countries whose stocktaking reports were reviewed, include: Cambodia, Comoros, Liberia, Madagascar, The Gambia,

support and advance the NAP process in the country concerned.”¹⁴

56. The evaluation found evidence of some national strategies to advance Output 1.3, which include draft stocktaking reports, and draft roadmaps (Bangladesh, Burkina Faso, Cambodia, Democratic Republic of Congo). Some of the draft roadmaps are quite general, often using text from NAP guidelines, making it unclear how much of the planning and recommendations are country-driven and multi-sectoral (e.g. Bangladesh, Madagascar). It is expected that these roadmaps will guide the process to develop NAPs in the future and the roadmaps provide mid to long-term planning. However, additional financial resources will be required for this. Some countries have also launched the NAP process (Gambia, Senegal, Tanzania, Mozambique, Lesotho, Malawi, DR Congo, Niger, Comoros, Djibouti, Liberia, Madagascar).

57. However, as discussed above, the evaluation noted that there was confusion and lack of clarity with regards to the term “NAP papers”: it appears that stocktaking reports and draft roadmaps can be used interchangeably with NAP papers. Furthermore, it is uncertain that the completion of one NAP paper (e.g. roadmap) is sufficient to achieve a “national level strategy” or if all the NAP papers or elements are required in all countries. The terms “national framework and strategy”, while intended to provide country level flexibility, actually seems to dilute the purpose, and does not allow for accurate tracking of results. The way the term is structured, any product of this project could be perceived as a “NAP paper”, without emphasis on the applicability of the product, its quality or impact. Clarity of terminology would have strengthened assessment of the output-related results.

58. With regards to the **Outputs under Outcome 2** “Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs” the evaluation rated the achievement of results as **Highly Satisfactory**. The justification of this rating is provided below:

59. With regards to Output 2.1, “Tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in local languages and usable formats to all LDCs, developed in partnership with relevant stakeholders”, the evaluation noted high achievement of results with the exception to documentation being made accessible in local languages (although documentation was generally available in English and in French). It should also be noted that some, of the products referred to below in contribution to this output, were actually produced by additional GSP partners, such as the LEG, and the GIZ. Training material produced by UNITAR as well as guidance produced by PROVIA was undertaken in collaboration with GSP and was funded by GSP. Therefore while these all contributed to the achievement of results under the GSP, it is not obvious that these are a direct result of the project’s funding. For example, partners such as GIZ and FAO supported countries using their own resources, consultants and processes.

60. The tools, methodologies, policy materials, and guiding principles that were produced during the GSP included the following:

- NAP Training Manual (LEG)
- NAP Country-level training in form of methodology, manuals, presentations and

¹⁴ Logical framework in Project Document of « Assisting Least Developed Countries with Country-Driven Processes to Advance National Adaptation Plans »

- exercises (UNDP/GIZ/UNITAR)
- PROVIA Guidance (PROVIA/UNEP/GSP)
- Infographics on the NAP process – Niger/Cambodia (GSP)
- NAP GSP website (GSP)
- The Stocktaking for National Adaptation (SNAP) Training Tool (GIZ)
- NAP Supplement on Water Sectors (GWP)
- NAP Supplement on Disaster Risk Reduction (UNISDR/UNDP)
- E-Introduction to NAP (UNITAR)
- NAP Central Website (UNFCCC)
- Interactive NAP-GSP Timeline (GSP)
- Skills Assessment for National Adaptation Planning Framework (UNITAR/UNDP/GSP)
- Four Regional Trainings (with participation from all LDCs except for Eritrea¹⁵, Haiti and Myanmar; Myanmar and Haiti were integrated through other mechanisms). (GSP)
- Library of Publications (related to adaptation) (GSP)
- Monthly newsletters (reach 2,200 individuals) (GSP)
- Good Practices workshop identifying Burkina Faso, Cambodia, Comoros as case studies (GSP)
- Three interactive NAP Case Studies on Malawi, Cambodia and Niger (UNITAR/GSP)
- A Massive Online Open Course (MOOC) module on Integrating Climate Change Adaptation into Policy Planning Adaptation in the context of SIDS (UNDP/UNITAR)

61. The evaluation found that the development of these instruments and the elaboration of these tools by project partners and technical trainings led to a high degree of achievement under this output. However, as noted earlier, the success of this output is based on the supply of products rather than on their application, use or impact. The evaluation found that the products reviewed were of high quality but global to suit varying national contexts. The products were produced mostly in English and French and not in local languages.¹⁶

62. With regards to Output 2.2, “- National teams are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting”, there was strong evidence of training of national teams. For instance, the NAP Training manual was applied in Angola, Djibouti, Mauritania, Madagascar and Togo. There was also documented evidence of NAP country-level trainings provided by GIZ, UNDP/UNEP, and UNITAR. Furthermore, the four regional technical trainings provided support to LDCs beyond the 15 targeted for one-on-one support. Participation in the regional trainings involved representatives from ministries of environment, planning and finance, and

¹⁵ Eritrea did not request one-on-one support from GSP. The regional training for Africa was held in Addis Ababa (selected strategically due to the presence of UN Economic Commission for Africa, and other UN agency offices), and Eritrea declined participation. Due to funding constraints, the GSP Team was unable to convene another meeting to include Eritrea.

¹⁶ The GSP team translated documents ranging from reports, newsletters, training materials, etc. into French whenever possible. Focal points were invited to attend either the English or French language regional trainings. Country-level trainings, were conducted by either French or English speaking resource persons/trainers. During consultations, Portuguese and Spanish speaking countries' participants expressed ease in either English or in French. In 2015 there are several newsletters in French and web-pages also feature updates in French. Several country level missions have been conducted in French, and one in Portuguese.

national level trainings usually brought together a broad cross-section of sectoral and planning ministries. In some cases, NGOs also participated.

63. With regards to Output 2.3 “Enhancing training materials through web-based and electronic means to support countries with their respective NAP processes”, one can refer back to the documented evidence provided under Output 2.1, and note the following web-based and electronic means to support countries “E-Introduction to NAP”, “NAP Central Website”, “Interactive NAP-GSP Timeline”, “Monthly newsletter”, with the addition of:

- Adaptation Learning Mechanism (UNDP)
- PROVIA website (UNEP)
- APAN web resources
- AAKNet web resources
- “NAP Central Website” (UNFCCC),
- UN CC Learn Introductory course on climate change with modules on adaptation planning – hosted by UNITAR

Of these, the E-introduction to NAPs and the Interactive NAP-GSP Timeline, as well as the newsletters were produced by the GSP team. All others were produced, funded and maintained by other partners

64. The evaluation determined that **Output 3.1 leading to Outcome 3** “Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process” was rated as **Satisfactory** in achieving its results.

65. The evaluation determined that the project achieved output 3.1, “South-South and North-South transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesised and made available to all LDCs to utilise in advancing the NAP process”. The evidence for this was found in the project reports of the Asia-Regional Training Workshop: “Supporting Countries to Advance their National Adaptation Plan Process” and Africa Regional Training Workshop: “Supporting Countries to Advance their National Adaptation Plan Process”, which promoted South-South and North-South exchanges. Although not officially named as “case studies”, the experiences of Angola, Bhutan, Bangladesh, LAO PDR, Malawi, Nepal, Uganda were discussed for input by LDC partners. Interviews conducted with beneficiaries during the evaluation provided further evidence that this Output was fulfilled. In fact, south-south exchanges were named by the interviewees as one key element of the GSP that warranted further strengthening and encouragement. However it should be noted that since most countries were merely beginning the NAP process, lessons and good practices were in limited supply.

66. While the feedback is extremely positive, it may be useful to follow-up on these exchanges for increased accompaniment in developing the NAP. As was suggested by an interviewee, a roster of developing country experts could be created on specific elements of the NAP, who could be relied on to be consulted periodically.

67. Whether these North-South and South-South exchanges will lead to on-going partnerships resulting in substantive policy changes is undocumented at this time.

Overall, the evaluation found that the achievement of **Output-level results was Satisfactory**, while recognizing the need for output-level targets and indicators to be included in future iterations for quantifiable assessment.

3.3 Attainment of Project Results and Milestones

68. In terms of project targets and milestones the evaluation found that, by closing of project, 15 requesting countries¹⁷ had received direct support to advance their NAP process in collaboration with other development partners (for the purposes of this evaluation, these 15 countries will be referred to as “Tier 1” countries). This included: support for stocktaking assessments, in-country training of multi-stakeholder NAP relevant teams, facilitation of stakeholder consultations, and development of NAP road-maps. At least 4 of these countries were in the process of developing or finalizing their NAP roadmaps at the time of evaluation, and a few countries were seeking institutional mandates for NAP steering¹⁸. The evaluation also found that at least 12 countries¹⁹ had conducted needs assessments, and had identified inputs required to enhance capacity.

69. By the end of the project, the evaluation determined that at least 48 LDCs had received training through regional workshops, and that the GSP contributed to the development of various tools, methodologies and documentary guidelines that were distributed to all. These included tools for Monitoring and Evaluation under the NAPs, additional technical guidance on NAPs and disaster risk management, and online-based training (MOOC). One such training, which was developed by UNITAR, was attended by at least 8000 people, testifying to the broad reach of the GSP.

70. There was, however, no documented evidence that all LDCs who received direct support had designed new, institutional mandates for NAPs within their national context. Additionally, while there was evidence that some capacity was built for the development of NAPs, there was no process for assessing the quality of NAP elements produced, or the level of capacity achieved.

71. As a result of this assessment, the rating for meeting **project targets and milestones** is **satisfactory**.

3.4 Effectiveness- Attainment of Project Results and Objectives

3.4.1 Direct outcomes from reconstructed theory of change (RTOC)

72. The following Table 8, demonstrates the outcomes and outputs in the RTOC:

¹⁷ Angola, Bangladesh, Bhutan, Burkina Faso, Cambodia, Comoros, Djibouti, D.R Congo, Lesotho, Malawi, Madagascar, Mauritania, Nepal, Niger, Senegal, Sudan, The Gambia, Tanzania, Timor Leste

¹⁸ “Institutional mandates” are used in the targets and the deliverables described under Outcome 1. There is no definition provided in the project documents.

¹⁹ Angola, Bangladesh, Burkina Faso, Cambodia, Comoros, Djibouti, D.R Congo, Lesotho, Malawi, Madagascar, Mozambique, Niger, Senegal, The Gambia, Tanzania

Table 8: RTOC Outcomes & Outputs and Attainment of Results

Outcome in RTOC	Outputs in RTOC	Attainment of Project Results
Outcome 1- Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets	Output 1.1- All LDCs have access to tools, methodologies and approaches to support key steps of the National Adaptation Plan process.	All LDCs have been given access to tools, methodologies and approaches (see previous section for complete list) to support key steps of the National Adaptation Plan process. One can infer that these were applied to produce the stocktaking reports, draft roadmaps and other elements of NAP Papers, along with specified technical guidance from UNDP, UNEP and its project partners. Other than these documents, there is no conclusive evidence of the application of these tools and methodologies at the national level, and beyond the scope of this project.
	Output 1.2 National and sub-national institutional and coordination arrangements established/ strengthened in 12 LDCs, including financial and other requirements for advancing medium- to long-term adaptation planning and budgeting.	While all countries receiving one-on-one support have documented plans for future coordination arrangements, and have participated in regional workshops (including participation from multi-sectoral partners), there is no documented evidence to conclude that national coordination and financial mechanisms have been established in 12 LDCs.
	Output 1.3 NAP elements are formulated, including elements for monitoring the progress of their implementation.	The 15 countries receiving one-on-one support from the GSP, did in fact formulate forward planning for future implementation. It is worth noting however, that many of the indicators reviewed are not finalized. Many of the stocktaking reports reviewed (Cambodia, Comoros, Gambia, Madagascar) contain plans for developing indicators, but do not have SMART indicators listed for monitoring of progress.
	Output 1.4 Countries exchange lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process	There is evidence of exchanges through South-South and North-South Cooperation as documented through regional workshops, one-on-one consultations, participation in LEG meetings, and facilitations with project partners. The questions that remain are whether these exchanges will continue beyond the project duration, how useful they will remain in the development of the NAPs and what form they will take.

73. There is documented evidence of partial achievements of results under Outcome 1 of the RTOC. While the products and services have been produced under Outputs 1.1, 1.2, 1.3, 1.4, there is little evidence to demonstrate the application of these, other than the development of more products (stocktaking reports, draft roadmaps, presentations). Upon reviewing stocktaking reports, draft roadmaps, regional workshop reports, consultation notes, the only concrete impact of the outputs/outcome is that there is greater dialogue

nationally between different sectors. The impact of these conversations has not yet manifested and other impacts of the project remain unclear at this time. Improved SMART indicators would strengthen such programming to provide measurable ways of monitoring the impact of the project.

74. The achievement of **Outcome-level results** was **Moderately Satisfactory**, while recognizing the need for improved indicators to measure “capacitation” and eventual impact.

3.4.2 Likelihood of impact using RoTI and based on reconstructed TOC

75. The Review of Outcomes to Impacts (RoTI) or “Theory of Change” seeks to analyse the pathway(s) from the immediate outcomes of the Project through to the ultimate impact – in most cases, the global environmental benefit. As noted in the RoTI Practitioner’s Handbook, “the key premise of the RoTI methodology is that, once the project’s theory of change has been mapped out and understood, it should then be possible to confirm whether each of the means- ends linkages in a results chain has either already occurred or is likely to occur, and therefore, ultimately, whether the project is on track in delivering its intended impacts. In this way, the RoTI method provides an indirect means for an evaluator to assess whether a project is in the process of delivering its intended impacts, and to understand better the underlying reasons for this, without the requirement of actually measuring the delivery of impacts directly”.

76. The RoTI method as developed and practiced by the GEF to evaluate the overall performance of GEF projects, requires ratings for Outcomes achieved by the project and the progress made towards the ‘Intermediate States’ at the time of the evaluation. A project will end up with a two letter rating e.g. AB, CD, BB etc. as described in the table below. The possible rating permutations are translated onto a six point rating scale used in all UNEP project evaluations. For example, a project receiving an “AA” rating appears Likely to deliver impacts, while for a project receiving a “DD” this would seem Unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact:

Table 9: Ratings and scale for Review of likelihood of impact

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

77. The Theory of Change analysis provides a potential reconstructed results framework for the project, against which progress can be assessed. Based on evidence

gathered to date, and on the basis of the reconstructed theory of change above, the evaluation finds that the project partially delivered on the RTOC outcome, “Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets” This is due to the fact that while countries received technical assistance and products, and while they prepared stocktaking reports and draft roadmaps, there was no clear evidence that this led to capacity in the country. SMART indicators and targets were not present to the desired extent to assess the application of products received and produced. However, the evaluation also notes that the project is intended to be part of a continuous process and that stocktaking reports, draft roadmaps and regional trainings are part of the process involved in building capacity. The rating for this outcome is therefore:

78. B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding

79. In relation to the intermediate states highlighted above, the evaluation found that there was insufficient evidence to determine whether the intermediate states were achieved. Country-level disparities also prevail here, and while some progress has been achieved, it is impossible to tell whether the “Integration of adaptation into the existing mainstream development and poverty reduction plans and budgets of the countries” will actually occur. The rating for this criterion is therefore:

80. B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.

Table 10: Outcome Rating

Outcome Rating	Rating on Progress Towards Intermediate States	Impact Rating
B	B	BB

3.4.3 Achievement of Project Goal and Planned Objectives

81. The Objective of the Project was stated as: “To strengthen institutional and technical capacities for iterative development of comprehensive NAPs in LDCs” in the results framework provided in the project documents. The target for this objective is “All LDCs have been sensitised on functional and operational individual, institutional and systemic capacities required to develop and advance medium- to long-term National Adaptation Plans”.

82. The evaluation finds that this target has been met as there is documented evidence that 15 requesting countries²⁰ have received one-on-one support to advance their NAP process in collaboration with other development partners, and that all other LDCs received training and/or awareness raising on the NAP process. However, the evaluation notes that a clearer target would be needed for improved assessment. The fact that they have received support alone doesn’t prove that their institutional and technical capacities for iterative development of comprehensive NAPs in LDCs have improved. Especially if we don’t know from the assessment of outputs above what the quality and utility of most outputs is.

²⁰ Angola, Bangladesh, Bhutan, Burkina Faso, Cambodia, Comoros, Djibouti, D.R Congo, Lesotho, Malawi, Madagascar, Mauritania, Nepal, Niger, Senegal, Sudan, The Gambia, Tanzania, Timor Leste

83. The rating for **achievement of the Project Objective** is thus **Satisfactory**.

84. In the original logical framework at project design, with regards to Outcome 1, “Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets”, the target stated in the results framework reads: “By the end of the project at least 12 LDCs requesting support from this initiative have conducted needs assessments, identified inputs required and finalised NAP papers to advance to medium- to long-term adaptation planning processes”. The evaluation found evidence that at least 12 countries had conducted some form of needs assessments and have identified inputs.²¹ While the evaluation recognizes that this target has been met, it also notes that “NAP papers” is identified as a concrete target, which has also been met. The evaluation finds that a clearer target would strengthen the results framework and improvement measurement of progress.

85. A second target was provided to assess the results of Outcome 1: “By the end of the project at least 12 LDCs requesting support from this initiative have trained capacities and clear institutional mandates in place to move towards adaptation planning processes in the context of their development strategies”.

86. While it is apparent from the aforementioned remarks on the preceding target under Outcome 1, there is documented evidence that countries have received training. There is no documented evidence, however, that such trainings have led to capacity, despite the good quality of the trainings. Other than in the case of Cambodia, which proposes a particular institutional mandate in its roadmap (not yet accomplished), there is no documented evidence of any new operational institutional mandate resulting from this project. The evaluation does note however the presence of political will as documented by voluntary participation in the project and in technical workshops.

87. The evaluation determined that **Outcome 1 results** were achieved with a **Moderately Satisfactory** rating.

88. In assessing the first target under Outcome 2: “By the end of the project, appropriate guides and related resource materials developed and dispersed through workshops and existing knowledge dissemination websites (ALM, APAN, AAKNet).” The evaluation notes that the target has been met. There is documented evidence (see Section 3.2) that appropriate guides and resource materials have been developed. With regards to the second target under Outcome 2: “At least 5 case studies on the impact of the applications of the guides and other resource materials developed”, there is documented evidence that three (3) “good practice case studies” have been developed (Burkina Faso, Cambodia, and Comoros). While not formally identified as case studies, the particular national circumstances of Angola, Bhutan, Bangladesh, LAO PDR, Malawi, Nepal, and Uganda were also shared in technical regional workshops.

89. Based on the aforementioned assessment, the evaluation determined that **Outcome 2 results** were achieved with a **Satisfactory** rating.

²¹ Cambodia, Comoros, Madagascar, Liberia, Niger have completed draft stocktaking reports; Bangladesh, Burkina Faso, Cambodia, D.R. Congo, Rwanda have completed draft roadmaps. Malawi and Djibouti are underway with their stocktaking exercise; Mauritania has received its second training on the stocktaking exercise.

90. The target under Outcome 3 “At least 5 partnerships with global and regional knowledge management institutions established to support countries with NAPs” has been met. There is documented evidence that the project has achieved partnerships with:

- Africa Adaptation Knowledge Network (AAKNET)
- Asia Pacific Adaptation Network (APAN) APAN has hosted an online community of practice on financing NAP, in collaboration with NAP-GSP.
- Nairobi Work Programme (NWP)
- South East Asia Network for Climate Change
- LDC Expert Group - Training on NAP Guidelines and co-organised Pacific work-shop
- WHO – contributed health NAPs perspectives In Africa and the Pacific
- FAO – contributed Agriculture and Food Security case studies
- GWP – Economics of Adaptation and co-organised the Africa work-shops
- GIZ – Application of SNAP tool in clinics
- UNITAR- developed skills assessment framework and conducted trainings and stocktaking missions
- UNISDR- Developed NAP Supplement on Disaster Risk Reduction (DRR)

91. Based on these collaborations and partnerships, the evaluation assesses that the **Outcome 3** results were attained with a **Highly Satisfactory** rating.

3.5 Sustainability and Replication

3.5.1 Socio-Political Sustainability

92. The evaluation determined that as participation in the project was voluntary and required the deliberate opting-in by countries, it is assumed that the level of political buy-in was high in the duration of the project, this of course could be subject to change however. As some countries have established NAP Focal Points²², others have sought project funding (Rwanda, Niger, Bangladesh, Chad, Lao PDR) to achieve their national goals, while others have participated in the LEG process to request support for NAPs the evaluation infers that there is some degree of socio-political sustainability of the NAP process. However, because many developing countries continue to depend on the provision of support for the operationalization of targeted institutional aspects of the NAP process, the sustainability of the GSP project, as a support mechanism, is less obvious. The integration of cross-ministerial staff at technical workshops promotes national ownership of the training obtained, and has been noted, through interviews, as having contributed to the heightened profile of NAPs at national level. It is also anticipated that the Expanded NAP GSP, continued advocacy by the LEG, and mention of the NAPs under the Paris Agreement will continue to promote NAP development.

93. The evaluation determines that the rating for **socio-political sustainability** of the project is **moderately likely**.

²² Documented in PIR FY15 but no countries specified

3.5.2 Financial Sustainability

94. The evaluation notes that while the project has leveraged some funds and some project beneficiaries have plans in place for mobilizing more, there remain challenges to attaining financial sustainability.

95. The evaluation notes that the project supported the deployment of training sessions devoted to climate financing. Regional workshops included clinics on: Economics of Climate Change Adaptation, Climate Public Expenditure and Institutional Review, financing from funds like the GEF, public and private sector finance, as well as access to Adaptation Fund or the Green Climate Fund. The evaluation obtained evidence that Malawi sought and obtained bilateral funding for portions of their NAP process through Japan, and anecdotal evidence that Myanmar was able to mobilize funding from the EU through a UNEP programming initiative.

96. In addition, UNDP and FAO are currently supporting eight countries²³, of which 3 are LDCs, through a German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) grant of USD 12 million to integrate agriculture into the NAP process. Finally, a few countries have opted to include all or portions of their NAP development processes in the design of funding proposals (PIFs) submitted to the GEF and LDCF. At the time of writing, the evaluation was able to ascertain that a project proposal for advancing the NAP process in Rwanda and Lao PDR had been technically cleared by the GEF Secretariat. Finally, there are encouraging signs that the Paris Agreement will allow for the mobilization of funding for NAPs, whether directly or indirectly, through UNFCCC related climate financing mechanisms such as the GCF.

97. However, despite these encouraging prospects and avenues for the continuation of the NAP agenda, the evaluation finds a few remaining issues:

- Project funding, although planned, is not guaranteed and may be unpredictable. While a positive perspective, the evaluation notes that, the submission of funding requests is not necessarily an indicator of financial sustainability. There is at this stage no guarantee that countries can or will access predictable sources of funding for their NAPs. There is however, anecdotal evidence that, in some cases, the GSP has helped advance the process towards financing for NAP development and adaptation in general.
- Project funding is also itself dependent on a few variables, including the availability of funds (see for example the case of the LDCF, which has been temporarily unable to approve PIFs owing to the lack of funds, and for which long-term replenishment is unpredictable); the evolving priorities of donors and funders (e.g. in terms of geographic coverage, theme and type of support provided); as well as timing, procedural and administrative constraints.
- If not carefully monitored, project-based funding can also encourage piecemeal approaches to NAP planning. The mobilization of multiple sources of funding has advantages and disadvantages, such as, for example, the need for enhanced coordination and monitoring (which may exceed current country capacity, despite GSP efforts), and the lack of predictability. Countries may submit projects that are not strictly NAP-oriented, and also address other environmental issues. This may

²³ Nepal, Kenya, the Philippines, Thailand, Uganda, Uruguay, Viet Nam and Zambia

potentially dilute the resources directed to NAP development and could create a situation whereby donors only support small portions of the NAP process, according to their preferences and priorities. Continuity and harmonization of the NAP process may be jeopardized by an overdependence on project-based funding. Furthermore, NAPs are intended to be country-driven, but if the NAP process is only to be funded through external resources, the extent to which there will be country ownership is questionable.

98. The evaluation was also not able to obtain any evidence to suggest that any of the 16 LDCs will be able to depend on national resources for follow-up on GSP activities. Furthermore, there is no guarantee, in the GSP as currently formulated, that countries who benefited from direct support would continue to do so in the expanded NAP GSP, allowing them to continue to advance their NAPs. In the absence of a commitment of continued support, there is no guarantee that achievements of the first phase will be built upon during the expanded phase of the GSP, and that countries will move from one stage to the next in terms of NAP development.

99. Finally, it should be noted that the evidence provided to support the analysis of financial sustainability is largely anecdotal. While there are reports of funding being mobilized, the evaluation was unable to triangulate these with concrete documented evidence. For example, the evaluation was not able to perform any analysis of the submitted project documents to ascertain the extent to which the NAP process was represented in funding requests (e.g. PIFs). In addition, while the technical and financial support provided by many partners was recognized by all stakeholders, its financial value was difficult to obtain. It would be useful if in the expanded NAP GSP, funding leveraged directly by the GSP interventions or by GSP beneficiaries could be clearly documented and tracked. This would assist in demonstrating the financial viability of the GSP model, as well as its effectiveness and sustainability.

100. Many countries interviewed indicated financial sustainability would be a limiting factor in their ability to move forward with NAPs. In conclusion, while the evaluators recognize that there are some plans in place to mobilize funds through projects and bilateral programs, the evaluators rate financial sustainability as **Moderately Likely**.

3.5.3 Institutional Sustainability

101. The evaluation found documented evidence of cross-sectoral participation and consultations. For instance, in Madagascar, Djibouti, The Gambia, and Malawi, there was greater cross-sectoral participation in adaptation planning following participation in technical workshops. In Cambodia, following participation in technical trainings, there is now the documented motivation to harmonize the Cambodia Climate Change Strategic Plan (CCCCP) with plans of line ministries. In Malawi a “NAP Core Team” has been established.

102. Other than the creation of NAP teams, which based on available evidence, appear more theoretical than operational, there was no documented evidence of new “governance structures, policies, legal or accountability frameworks” that may have provided a basis for long-term continuation of the NAP process nationally. Although it is noted that these were not necessarily anticipated as a direct output of the project, they can provide markers of institutional sustainability. As a result, the **institutional sustainability** is rated as **moderately likely**.

3.5.4 Environmental Sustainability

103. As the project is a capacity development project, there are no environmental risks that might threaten the sustainability of outcomes. The project participants are expected to contribute positively to global environmental sustainability, and to pursue interest in adaptation given climate change and associated impacts.

104. A rating is not applicable: N/A

3.5.5 Replication

105. There is compelling evidence of factors that exist for scaling up of the project experiences. First, most beneficiaries are in a transitional phase either having completed their stocktaking or draft roadmaps. This indicates an impetus for an expansion of the GSP in which to complete and implement the outputs produced. Moreover, the focus on 16 LDCs provides the baseline experience and data to incorporate new LDCs and non-LDCs into such support.

106. Second, the evaluation found that the project was highly effective in mobilizing a number of project partners to disseminate knowledge, conduct trainings and assist LDCs. This formalized web of interactions can be maintained and further built upon to increase partnerships, knowledge exchanges, and collaborations. These mechanisms can be used in future phases.

107. The evaluation also found effective coordination between UNDP-UNEP and other multilateral and donor-country organizations, which lends itself to future collaborations and phases of this project. The new tools and methodologies produced as part of the GSP, and the increased access to information can be used in other projects or in future iterations of this one.

108. The evaluation finds this project **Highly Likely** to be replicated.

3.6 Efficiency

109. In terms of efficiency in programme management, there was strong evidence of satisfactory technical and financial oversight. The UNDP and UNEP joint project team were able to coordinate their activities efficiently and manage a large group of project partners. The shared working quarters of the team (Bangkok) led to time-efficiency and collaboration. There was no evidence to suggest inconsistency in policy decisions by UNDP, UNEP and GEF. The one aspect that could have further improved efficiency was for UNEP to allocate full-time, rather than part-time, technical staff to the project, though this was not shown to have overly impacted the delivery of service.

110. There was documented evidence of an adaptive approach to address challenges. One example included the challenge of scarcity of financial resources as noted in the PIR. The project board decided at its first meeting that for activities to be effective, regional workshops should target ministries of finance, planning and environment. However, having three participants per country, as well as a larger number of technical partners and resource persons, added to the costs of the regional workshops. As a mitigation measure, the project employed services of consultants and reallocated funds from the staff line in the

budget to those under other activities to meet the objectives, and organized one regional training workshop jointly with the LDC Expert Group to reduce costs.

111. One key aspect of the implementation strategy of the GSP was to allocate direct support to a smaller group of countries based on requests and on directly formulated needs. This approach, although not necessarily more cost-effective helped to maximize results in a smaller number of countries, by providing individualized tailored support to a smaller subset of countries, rather than targeting all LDCs with generalized content. However, the selection of countries that benefitted from support was not based on any clear allocation mechanism, and this may have been perceived as inequitable by some countries. Specific LDCs had to make a request to participate in the GSP and the decisions were based on a first-come-first served basis.

112. There does not appear to have been any clear thinking on behalf of the program designers as to the length and duration of support that would be awarded to any given country either. For example, as noted above, it is not clear that countries that received support to date for the development of roadmaps, will be further supported in the implementation of these roadmaps. This would greatly reduce the efficiency and likelihood of impact and sustainability of the programme as a whole, because although it may be possible to claim that a large number of countries have increased capacity, no single country would have developed adequate capacity needed to finalize its NAP process. In the view of the evaluation, the efficiency of the program's approach is dependent on its ability to accompany countries throughout the entire process, which it may not be able to do in the absence of more significant financial resources.

113. In terms of financial management the evaluation found that the project was adequately managed. Financial Management Officers were available and knowledgeable of financial circumstances, and the only financial delays were outside of the control of the project (for example the institutional transitions in UNEP to the UMOJA financial system). Project Board meetings were held annually to provide guidance and support.

114. There was also documented evidence of utilization of complementarities with WHO, FAO, IFAD, GIZ, GWP, LEG, UNFCCC, GEF, UNISDR, UNITAR for project delivery in order to maximize resources and build synergies. It was unfortunately impossible to quantify the value of co-financing received through the mobilization of external partners to the GSP, however the evaluation found strong evidence to support that this exceeded the originally intended amount. Finally, the project was completed in due time.

115. The evaluation found the project to be efficient given its resource constraints and global nature. The project was found **Satisfactory** in terms of **efficiency**.

3.7 Factors Affecting Performance

3.7.1 Project Preparation and Readiness

116. The evaluation found the documents at project design clearly articulated the **situation analysis**, highlighting the relationship between the Global Support Programme and the NAP processes. Similarly, the UN processes and consultations and their overall outcomes relating to this programme were well explained.

117. The evaluation found evidence of a clear **problem analysis** highlighting that at the time of project design, LDCs did not have the required institutional structures, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative NAP process, thus requiring broader support. The main **problem** and the preferred solution were also presented clearly. The **preferred solution** for addressing the problem of insufficient institutional and technical capacity to undertake medium- to long-term adaptation planning, is described as “developing appropriate institutional frameworks, technical expertise, managerial capacity and decision-making processes for managing climate change risks within LDCs”. The “how” of in what way the preferred solution will be achieved is described as the provision of institutional and technical support and knowledge brokering. At the most general level, the GSP responded to clearly established needs.

118. The **intervention logic** is presented clearly: as a result of the project, participating LDCs should have sufficient capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes with limited external support. However, there is the underlying assumption that the 12 LDCs will receive equal assistance in vulnerability analysis, economic assessment of adaptation options, climate resilient planning and budgeting, policy development leadership and management capacities²⁴, and will achieve completion of (all) their NAP papers, which will leave them in an optimal state to complete their NAPs. However, NAP papers were not clearly defined and the evaluation found it difficult to assess progress against this general term. In addition, not all countries received similar support, and in the absence of a guaranteed “next step support” for beneficiaries, many countries have found themselves in suspense as regards to the completion of the process.

119. There was a major assumption that once countries had received the tools (institutional, technical and knowledge-based) they would be able to apply them at the systemic level, in the absence of external technical or financial support. This assumption has not materialized. Some countries expressed the fact that there were clear expectations of individual, targeted and equitably distributed financial support for NAPs, an expectation that failed to materialize and on which no clear communication strategy was deployed by the proponents of the project.

120. No **Theory of Change (ToC)** was developed in the programme design phase (this was not required at the time), however the evaluator was able to reconstruct the ToC based on information from the project documents. Some shortcomings were identified and recommendations made on the improvement of the project logic and on the documentation of key assumptions and drivers.

121. The evaluation found that the programme design did not include a clear gender analysis. There was no evidence of any gender-disaggregated targets, indicators or gender equity goals.

122. The evaluation also found that the results framework did not include any output-level indicators or targets and that this posed a challenge to the measurement of results. The rating for **project preparation and readiness** is **moderately satisfactory**.

²⁴ UNEP: Project Document- “Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)”. Page 26

3.7.2 Project Implementation and Management

123. As documented in Section 2.2 the project's management structure is made up of a complex execution modality with two agencies (UNDP & UNEP) and a number of partners working together. The specific roles and obligations are detailed in an Internal Cooperation Agreement (ICA) signed in August/September 2013.²⁵

124. The evaluation identified several reasons why UNEP and UNDP successfully implemented and managed this initiative: (i) both agencies have implemented other Global Support Programmes in the past together and have a healthy working relationship (ii). there was a clear delineation of tasks between the two organizational entities; (iii) a jointly agreed work-plan was developed and adhered to, while managing budgets separately according to the procedures of each agency avoided procedural issues that plague UN joint programmes; (iv) being co-located in Bangkok also meant that the team often met on all issues, whether UNDP-led or UNEP-led, resulting in consensus and sound judgment on decisions taken. The GSP team further held regular conversations, be it long-distance via Skype or teleconference or face-to-face during the different NAP related events, with the project partners.

125. In terms of managing the partnerships beyond the immediate GSP board members, the GSP showed some innovation in mobilizing resources and assistance from a broad network of multilateral and bilateral partners. Partners were identified during the NAP-related events at and around UNFCCC meetings, as well as through an assessment of key partners at country level, when individual support was provided. A strong network of dedicated partners emerged from these efforts. The more actively engaged partners like GWP, UNITAR, GIZ, and FAO remained in constant communication and many of these partners made their own contributions (technical and financial) to the NAP processes in GSP and non-GSP countries. Both the programme implementation team and the programme oversight team also met as UNDP/UNEP regularly and informally in global events and forums to discuss progress and have one on one meetings with specific partners.

126. UNDP and UNEP were reported to effectively manage this project. Project Board meetings were also held annually to provide guidance and support (for composition of Project Board, please refer to Section 2.2). There was documented evidence that there was some lack of information- sharing on funds allocated for staffing, but that was corrected midstream. An adaptive management approach was used when facing budget constraints²⁶ for successful project implementation and management. There was also documented evidence of utilization of complementarities with WHO, FAO, GIZ, GWP, UNISDR, UNITAR.

127. The rating for **project management and implementation** is assessed as **highly satisfactory**.

²⁵ The project team was composed of a Technical Specialist, a Knowledge Management Specialist, and a Project Assistant. One UNDP/UNEP staff and two consultants were further deployed to manage workload.

²⁶ There was evidence that the project encountered budget constraints when it sought to invite three ministries from each LDC to regional workshops (for cross-sectoral capacity-building). The agencies opted to hire consultants rather than increase project staff in order to address this issue.

3.7.3 Stakeholder Participation and Involvement

128. There was strong evidence of participation of LDCs (15 one-on-one beneficiaries as well as the broader LDC group) as well as project partners. While cross-sectoral participation was mobilized at regional trainings, there was no documented evidence to suggest that vulnerable groups were included in project implementation. There was some anecdotal evidence that gender was accounted for in participation of trainings and capacity building activities, for example in Mauritania, Guinea and Lesotho, where women's groups were invited and attended.

129. Beyond participation in UN processes (LEG meetings), there was no documented evidence of LDCs being able to provide input into the project design. Some LDCs noted that the GSP did not respond to their expectation in terms of funding and in terms of mechanisms to channel support to countries for NAPs. This indicates that there was some confusion and unclear communication on the intentions and scope of GSP at the beginning. These misgivings were later corrected, but it may have led to some initial dissatisfaction by LDCs.

130. There was documented evidence that countries were able to feedback into the project. A survey was sent to countries, and email correspondence documented feedback on trainings, which suggest that feedback was possible during implementation. The feedback on the regional workshops was very positive. UNDP and UNEP team also provided input on draft stocktaking reports, roadmaps and presentations.

131. The evaluators were not able to obtain a Stakeholder Involvement Plan, which was described as an output of the inception workshop.

132. In terms of stakeholder participation at the national level, it appears as though stakeholders include a small cross-section of government officials. There is no documented evidence that stakeholders and participants include all major social groups and vulnerable communities.

133. The evaluation found **stakeholder involvement** at the time of project implementation was **moderately satisfactory**.

3.7.4 Communication and Public Awareness

134. The evaluation noted several means of communication throughout the project duration and beyond. For instance, evidence of ongoing communication was noted through:

- Listserves/e-mails/newsletters
- NAP Central²⁷ and other websites
- Regional workshops
- CoP side events
- Communication through the LEG and other project partners and associated mechanisms and events, such as NAP Expo.

135. Based on verbal accounts by stakeholders, as well as online evidence, stakeholders perceived channels of communication to be open with UNDP and UNEP. There were some

²⁷ At the time of writing (January 2015) the NAP Central website still states that it is under construction which will be completed in October. It appears as though there are significant delays. While there is some content, most of it has yet to be uploaded.

accounts by beneficiaries however, that when they sought support to develop NAP-related products, they were surprised when GIZ or another project partner responded to provide support on the ground (rather than UNDP or UNEP directly).

136. As noted above, beyond participation in UN processes (LEG meetings), there was no documented evidence of countries being able to provide input into the project design leading to some confusion and unclear communication on the intentions and scope of a GSP.

137. There is documented evidence of countries specifying needs particularly through draft stocktaking reports and roadmaps, and through feedback provided on regional workshops. There is also documented evidence of knowledge networks being established, technical guidance, and institutional capacity building being provided. There was, however, no documented evidence that capacities gained from the project were shared or mainstreamed at the national level in individual countries, or that adaptation knowledge trickled down to the greater public.

138. A review of project board minutes and PIRs reveal that a survey was carried out to consult with countries and receive feedback. The survey, its results and analysis, were not made available to the evaluators by the project team.

139. The rating for **communication and public awareness** is **satisfactory**.

3.7.5 Country Ownership & Driven-ness

140. At the project design level, country ownership and driven-ness is demonstrable through countries' engagement in LEG processes and desire expressed for a global support programme. However, the lack of inclusion of countries in the project design stage may have hampered initial ownership of the project. Furthermore countries had no influence on the way the GSP came to unfold, either in the selection of countries that benefitted from support, in the shaping of guidance received, or in the nature of the partners mobilized to assist them.

141. At the latter stage of implementation, participation in the project is premised on self-identification for one-on-one support, which assumes country driven-ness and political will to engage. Country ownership is also demonstrable through participation in regional workshops and trainings and activities carried out by project partners. However, it is unclear how much freedom countries had to give their own orientation to the process. For instance, if a country did not find value added in a stocktaking exercise, it is unclear how much freedom they had to avoid the exercise. Also, it is unclear whether the GSP was responding to specific problems articulated by the countries, or whether they were prescribing a general remedy.

142. The rating for **country ownership and driven-ness** is **moderately satisfactory**.

3.7.6 Financial Management

143. The evaluation found that financial management structures and processes were adequately set before the start of the project. There was a procurement plan in place at the onset of the project. The evaluation found that allocations between UNEP and UNDP were in place at the onset of the project. FMOs were available and responded in a timely manner. The allocations were not adequate in ensuring participation of a large number of

participants and project partners, so the project adapted hiring practices (more consultants than staff) to meet this challenge.

144. The planned and executed budgets were consistent. The project appeared to have used the most effective means to achieve project results, some of which were not funded by the GSP, but leveraged by the GSP, e.g.:

- Use of multilateral and donor country partners with valued added and comparative advantage in local contexts (WHO, FAO, GIZ, GWP, UNISDR, UNITAR)
- Regional fora used to disseminate information and target regional blocs and multiple countries with given resources
- Online support (AAKNet, ALM, NAP Central, Library of Publications, Interactive NAP-GSP Timeline)
- Strategic co-financing (UNDP-ADAPT Capacity-building programme, UNDP-KCIG initiatives, UNDP-APRC Strengthening the Governance of Climate Change Finance, UNEP-PROVIA, UNDP-Communities of Practice)

145. As per these findings the **financial management** of this project is rated as **highly satisfactory**.

3.7.7 UNDP & UNEP Supervision and backstopping

146. The evaluation found that UNDP and UNEP effectively executed the project in terms of timeliness, finances, and administration. The timeframes planned at project inception were adhered to; an adaptive management approach was applied when facing a constrained budget. Joint workplans were developed and communication was maintained with project partners while leveraging their resources for training, and service dissemination.

147. It was noted during the evaluation that the UNEP staff was mobilized on a part-time basis. While there was no direct evidence that the service provided by UNEP was inadequate as a result of this arrangement, the evaluation concluded that this could have limited the kind of technical support, timeliness and response time that could be provided. It was not clear whether this arrangement was made as a result of an explicit Project Board decision or whether it was due to a limitation of funds.

148. In terms of guidance, both UNDP and UNEP could have applied their expertise in the area of developing SMART indicators for improved measurement of success and impact. They could also encourage the project to be less product/service oriented, and focus more on the application of these at the national level. Overall, the evaluation finds **supervision and backstopping satisfactory**.

3.7.8 Monitoring & Evaluation (M&E)

149. An M&E Plan is provided in project documents. The evaluation however found that the budgets provided in the project documents are inconsistent. The costed M&E Plan allocates US\$40,000 while the planned budget in project documents has allocated US\$30,000 to M&E activities. The costed M&E plan had an allocation of US\$10,000 for project inception while the planned budget did not.

150. The final budget allocates US\$22,000 for M&E (terminal evaluation costs) from UNEP's budget, which is less than was initially planned. Based on discussions with the project team, it appears that this budget was reduced for cost savings, to allow for increased support to countries. For instance, when facing the scarcity of financial resources, due to the large costs of regional workshops not accounted for at inception phase (participation of three ministries per country at regional workshops²⁸, large numbers of partners and resource persons), the project employed services of consultants and reallocated funds from the staff line in the budget to those under other activities to meet the objectives, and organized one regional training workshop jointly with the LDC Expert Group to reduce costs. There was also some internal confusion with regards to the Terminal Evaluation (TE) budget, as both UNDP and UNEP had initially allocated budgets to this. In the end, the agreement was that UNEP would cover the work costs (22,000 US\$) and UNDP the travel costs.

151. With regards to the indicators used to measure effectiveness and attainment of project results and objectives, the evaluation found that not all the indicators were specific, measurable, achievable, relevant, and time-bound (S.M.A.R.T).

152. For instance, in the case of the Project Objective Indicator "Number of countries sensitised on functional and operational individual, institutional and systemic capacities to develop and advance medium- to long-term National Adaptation Plans", the evaluation found this not to be a SMART indicator. While it does provide a measurable aspect "number of countries"—it is unclear how "sensitized" is to be measured (how many trainings lead to sensitization?). The question of attribution is also unclear: there is a broad assumption that being sensitized about capacity, leads to capacity. The indicator is also not time bound.

153. For the indicators under former Outcome 1: "Number of country-specific NAP papers developed to enable countries with processes to move forward with medium- to long-term climate resilient planning process" and "Number of countries with institutional arrangements and trained capacities in place to advance towards medium- to long-term climate resilient planning", the evaluator found these to be measurable, achievable and relevant, however, the terminology used is not specific. "NAP papers" is not a clear concept and the evaluation found that stocktaking reports, roadmaps are both used interchangeably with this term. While this may have been left vague intentionally to allow for a country-level tailoring of outputs, it led to some confusion on the scope of the GSP, as "NAP papers" are commonly understood as final NAP documents. Moreover, the indicators are not time-bound.

154. For indicators under former Outcome 2 "Number of technical tools, detailed methodologies (by sector) available to support medium- to long-term adaptation planning in all key sectors and at national and sectoral levels" and "Number of case studies for medium- to long-term adaptation planning developed." The evaluation found that these indicators are not time-bound. Furthermore, in terms of relevance, indicators such as these could integrate a dimension related to the use of said tools and methodologies, in order to more clearly address the assumption that the production of tools leads directly to a change in capacity or behaviour.

155. With regards to the Indicator for former Outcome 3 "Number of partnerships with global and regional knowledge management institutions established to support countries

²⁸ The project board decided at its first meeting that for activities to be effective, regional workshops should target ministries of finance, planning and environment.

with NAPs”, the evaluation found that this indicator was specific, measurable, achievable and relevant, but not time-bound.

156. The evaluation found that there were no output-level indicators, which considerably weakened project design and made it difficult to evaluate progress on shorter-term results, particularly in the extent to which no specific targets were provided for GSP achievements. Finally, there were no gender-disaggregated indicators provided in the results framework.

157. While many of the indicators included certain aspects of the SMART criteria, the evaluation determined the inclusion of fully-SMART indicators, along with a strengthened theory of change, could have further strengthened project design. Based on this assessment, the evaluation found the quality of the indicators to be moderately satisfactory.

158. The rating for **Monitoring & Evaluation** is **moderately satisfactory**.

4 CONCLUSIONS AND RECOMMENDATIONS

4.1 Conclusions

159. The overall goal of this project was “to facilitate effective medium- to long-term planning for adaptation to climate change in Least Developed Countries”. The overall objective of the project was “to strengthen institutional and technical capacities for iterative development of comprehensive National Adaptation Plans (NAPs) in Least Developed Countries (LDCs)”. The project helped to advance the process of preparing NAPs which were country-driven, and based on integrating adaptation into existing national development priorities and plans, to ensure a strategic and properly aligned approach to addressing climate change adaptation.

160. The services made available to LDCs through the programme were grouped into three components, following three thematic areas: (i) institutional support; (ii) technical support; and (iii) brokering of knowledge.

161. **Conclusion 1: There was evidence that the project has helped 16 LDCs to develop operational roadmaps to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets.** This was carried through efficient coordination of the joint UNDP-UNEP project team with LDCs and project partners such as UNFCCC, LEG, GWP, UNITAR, FAO, IFAD, WHO, UNISDR. Project partners provided support according to their comparative advantage. It is to be noted that not all countries that benefitted from support were at the same levels of development with their NAP planning at the end of the project.

162. **Conclusion 2: There was sufficient evidence to demonstrate that support mechanisms developed and implemented by the project helped advance countries in their medium to long-term adaptation planning, but not sufficiently to develop their NAPs.** The support was in line with the GSP and assisted countries in stocktaking exercises, trainings and drafting of roadmaps.

163. Through active participation in technical trainings, there is evidence that there was political will, country driven-ness, and a large number of beneficiaries of the project. At this time, however, it is difficult to assess how participation in trainings, capacity building exercises and access to adaptation-relevant information will lead to substantial policy

changes and contributions to the climate change framework. Up to now there is no evidence of substantial policy changes due to the project.

164. There was evidence of new tools, mechanisms, web-based portals, North-South and South-South exchanges in enhancing the flow of adaptation-based information. However, at this stage there is no evidence of level of usage by LDCs and whether this will be sustained beyond the project. There is also no evidence that the awareness generated by these mechanisms are influencing political decision-making at national levels including national and sectoral planning processes.

165. **Conclusion 3: The project was managed efficiently and cost-effectively.** The project team implemented an adaptive management approach in order to direct as much project funds towards the intended beneficiaries, and to reduce operating costs. The evaluation found that one of the great successes of this project was the partnerships with external multilateral and bilateral partners and knowledge networks in carrying out activities, making use of resources cost-effectively and establishing synergies and complementarities.

166. The project promoted inclusion of cross-ministerial participation by including ministries of finance and planning along with environment. However, the evaluation found that stakeholders were not involved in project design and the project did not include the most vulnerable social groups. No gender indicators were provided.

167. **Conclusion 4: There were weaknesses in the project design, including in the results chain and documentation of key assumptions, which may have led to disappointed expectations regarding the GSP.** Upon assessment of the results framework, the evaluators found that some of the outcomes could be reformulated as outputs, and outputs could be reformulated as activities for improved causal pathways. A reconstructed theory of change was thus proposed. The evaluation also noted that the results framework assumes that “sensitization” leads to capacity, which is a broad assumption. Terminology used in the results framework e.g. “NAP papers” was unclear and could have created different expectations of project results among stakeholders. Another challenge was that there were no output level targets or indicators provided; it was thus difficult to understand the intended scope of activities, and therefore to assess the quality and success of outputs.

168. Based on the assessment above and on documentation available, the overall rating for the project is satisfactory. For an overview of evaluation results, kindly refer to Table 10 below:

169. Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

Table 10- Summary Assessment

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project was designed with sound regard for international policy context. Appropriate linkages to the guidance from the COP and mandates of implementing agencies were referred to in the project design document. However, the evaluation found that more explicit linkages and references to key programming documents, such as the Bali Strategic Plan,	S

	UNDP Strategic Plan and national policy documents could have been included in the project documents.	
B. Achievement of outputs	Overall, the evaluation found that the achievement of Output-level results were Satisfactory, while recognizing the need for output-level targets and indicators to be included in future iterations for quantifiable assessment.	S
C. Effectiveness: Attainment of project objectives and results	The evaluation finds that the target for project objective was met as there is documented evidence that 15 requesting countries ²⁹ have received one-on-one support to advance their NAP process in collaborating with other development partners through stocktaking, in-country training of multi-stakeholder NAP relevant teams, facilitation of stakeholder consultations and development of NAP roadmaps. However, there is not documented evidence that training was translated into capacity at the national level.	MS
1. Achievement of direct outcomes	Outcome 1 results were achieved with a Moderately Satisfactory rating, Outcome 2 with a Satisfactory rating and Outcome 3 with a Highly satisfactory rating.	S
2. Likelihood of impact	B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.	MS
D. Sustainability and replication		
1. Financial	There is no documented evidence collected by the countries to suggest that the 16 LDCs will be able to depend on national resources for follow-up on these activities.	ML
2. Socio-political	As participation in the project was voluntary and required the deliberate opting in by countries, it is assumed that the level of political buy-in was high during project duration.	ML
3. Institutional framework	No documented evidence of new governance structures, policies, sub-regional agreements, legal and accountability frameworks, other than the creation of NAP consultation teams in some countries (Malawi, Cambodia, Bangladesh). However, there is documented evidence of uptake of project demonstrated coordination: e.g. in Madagascar, The Gambia and Malawi, there is greater cross-sectoral participation in adaptation planning following participation in technical workshops. In Cambodia, following participation in technical trainings, there is now the documented motivation to harmonize the Cambodia Climate Change Strategic Plan (CCCP) with plans of line ministries. In Malawi a "NAP Core Team" has been established.	ML
4. Environmental	The project is a capacity development project, there are no environmental risks that might threaten sustainability of outcomes and rating is not applicable. The project participants are expected, through their work, to contribute positively to global environmental sustainability.	N/A
5. Catalytic role and replication	There is anecdotal evidence of countries linking their LDCF projects to fulfil NAP objectives (Djibouti), but at this time in reviewing documents made available there is no documented evidence of sustained follow-up financing (other than from the possibility of a Expanded phase of the	HL

²⁹ Angola, Bangladesh, Bhutan, Burkina Faso, Cambodia, Comoros, Djibouti, D.R Congo, Lesotho, Malawi, Madagascar, Mauritania, Nepal, Niger, Senegal, Sudan, The Gambia, Tanzania, Timor Leste

	project). There is documented evidence that factors exist for scaling up of project experiences: e.g. some countries are in the process of establishing roadmaps which indicate plans for future phases, mechanisms for South-South partnerships have been established which can be used in future phases, effective coordination between UNDP-UNEP and other multilateral and donor-country organizations.	
E. Efficiency	There was evidence of satisfactory technical and financial oversight; the FMO was available and knowledgeable of financial circumstances, Project Board meetings were held annually to provide guidance and support. There was documented evidence that there was some lack of information-sharing on funds allocated for staffing, but that was corrected midstream. There was no evidence to suggest inconsistency in policy decisions by UNDP, UNEP and GEF. There was documented evidence of adaptive approach to address challenges.	S
F. Factors affecting project performance		
1. Preparation and readiness	There was no theory of change at project design phase (as this was not required at project design). A reconstructed theory of change is proposed in the TE. There was an implicit theory of change in project documents encapsulated in the logical framework. The evaluation found that it was inadequate in making the links between outcomes and the objective, and that the formulation of some of the outputs led to some confusion on expected results (e.g. NAP papers). It was also deemed that the formulation of some of the outcomes read as outputs. The lack of output-level targets makes progress difficult to assess. Beneficiaries were unable to provide input at design stage.	MS
2. Project implementation and management	Evidence of satisfactory technical and financial oversight; the FMO was available and knowledgeable of financial circumstances, Project Board meetings were held annually to provide guidance and support. Documented evidence of utilization of complementarities with WHO, FAO, GIZ, GWP, UNISDR, UNITAR	HS
3. Stakeholders participation and public awareness	Documented high level of participation in technical trainings and meetings, contacts with multilateral and donor country partners as evidenced by workshop participation lists. Cross-ministerial participation. No documented evidence of participation by vulnerable groups. No documented evidence of stakeholders input into project design. No gender indicators.	MS
4. Country ownership and driven-ness	Beyond participation in UN processes (LEG meetings), there was no documented evidence of countries being able to provide input into the project design. Some LDCs who participated in the COP noted that the GSP did not respond to their expectation in terms of funding and in terms of mechanisms to channel support to countries for NAPs. This indicates that there was some confusion and unclear communication on the intentions and scope of a GSP. These misgivings were later corrected, but it may have led to some dissatisfaction by LDCs. There is documented evidence of countries specifying needs particularly through draft stocktaking reports and roadmaps. The goal of the project is to provide support to countries so that they can develop their NAPs beyond project duration. As such all activities are structured around enhancing institutional, technical and knowledge structures in LDCs. There was documented evidence of knowledge networks established, technical guidance provided, and institutional capacity building provided. Given that participation requires self-identification, it is assumed that there is the political will to engage	MS

	with the project.	
5. Financial planning and management	The evaluation found that the following financial management structures were in place at project design. A procurement plan was available at the onset of the project. An FMO was available and provided timely financial guidance. UNDP and UNEP were able to implement adaptive management to respond to budget constraints. A high number of project partners were coordinated with to provide adequate programming and resources. Co-financing that was not anticipated at project inception was mobilized. The budget was limited and prevented follow-up in country missions; project partners partially filled this gap by providing additional support.	HS
6. UNEP and UNDP supervision and backstopping	UNEP and UNDP guidance and technical support were effective.	S
7. Monitoring and evaluation		
a. M&E Design	M&E Plan provided in project documents,	S
b. Budgeting and funding for M&E activities	The evaluation found that the budgets provided in the project documents are inconsistent. The Costed M&E Plan allocates US\$40,000 while the planned budget has allocated US\$30,000. The Costed M&E plan had an allocation of US\$10,000 for project inception while the budget did not. The final budget allocates 22,000 for the Terminal evaluation, which means that the initial budget over-costed M&E. However, the evaluation found that additional monitoring of stakeholder feedback and follow-up, as well as of resources leveraged, would have been useful.	MS
c. M&E Plan Implementation	Only budgeted costs were attributed to terminal evaluation	S
Overall project rating		S

4.2 Lessons Learned

170. Based on the findings of the evaluation, a number of lessons can be learned that can be of high relevance to future projects with similar goals.

Lesson 1: *Projects/programme can be effectively managed in joint collaboration by two different organizational entities.* UNDP and UNEP effectively managed this project and brought their value added to the initiative, while being able to leverage targeted support from external partners. Conditions, which made this possible, included: (i) shared office sites, (ii) clear delineation of work and agreement on joint workplan; (iii) historical experience; (iv) separate budgets to be managed according to individual UN processes.

Lesson 2: *Multiple project partners can support successful implementation of the programme, particularly when budgets are limited.*

Given that the project was global in scope, covering different regions and levels of adaptation planning, project partners with expertise in different contexts complemented the project team and conducted trainings, developed tools and methodologies and supported LDCs in their adaptation planning. Constant communication, demonstration of

synergies and highlighting the importance of climate resilience relative to other project partners' work, allowed the GSP programme to leverage such support.

Lesson 3: Sensitization and trainings will not automatically translate into capacity.

One of the broad assumptions in this project is that receiving particular technical, institutional and knowledge inputs will translate into capacity. It would be useful to deconstruct that assumption and examine the variables along that chain that can be improved for long-term sustainable capacity-building.

Lesson 4: Countries seek opportunities to learn from one another's experiences and appreciate venues for South-South learning.

The feedback from interviews stressed how informative and appreciated the South-South interactions and case studies were in order to improve national planning. The partnerships built during this project should continue and serve as a source of meaningful accompaniment during the development of NAP-related policies. Rosters of South-based experts could be developed for support and consultation.

Lesson 5: Stakeholder consultation at project design stage and during implementation could strengthen understanding of expected results, and improve project results.

The misunderstandings around project results and terminology could have been mitigated if stakeholder participation was solicited at the design stage. The causal pathways may also have been improved.

Lesson 6: Programmes of support require indicators to document how trainings and capacity building will be converted to policy change.

One of the challenges with this programme of support, which is dealing with a process, is to monitor whether policy change occurs at the end. Specific indicators could be useful in discerning which are concrete policy shifts and changes that result from such a programme.

Lesson 7: A project approach may not adequately capture the scope of this type of programming.

Given that the GSP is meant to be part of an ongoing process, the input-output project model may not adequately measure the impacts of such programming. This type of programming may be better characterized as an enabling activity and programmed as a long-term support mechanism, with adequate resources.

4.3 Recommendations

171. While this phase of the project has been completed, the following phase and other iterations of this project can benefit from the following recommendations.

Recommendation 1: Output-level indicators and targets should be provided for improved assessment of results and key assumptions should be documented. All indicators and targets in the results framework should be SMART.

Recommendation 2: Terminology in results framework should be clearly defined, disseminated and mainstreamed with project stakeholders and beneficiaries.

Recommendation 3: Stakeholders should be involved at project design stage and regular feedback should be sought during implementation, in order to document more clearly the possibilities of policy change after policy support has been received.

Recommendation 4: This project's success in terms of leveraging support from project partners, building complementarities and using synergies should be replicated in other initiatives under UNFCCC process.

Recommendation 5: A clearer implementation strategy should be expressed before inception (for example, targeting and selection of beneficiaries) to avoid disappointed expectations.

Recommendation 6: Gender should be better integrated into the project. Gender-disaggregated indicators can be used to assess results relative to gender. Regional technical workshops can focus some programming on climate resilience and how it intersects with gender. Gender targets can be established for female participation.

Recommendation 7: Gender should be better integrated into the project. Gender-disaggregated indicators can be used to assess results relative to gender, and a gender analysis could be integrated in the Theory of Change. Regional technical workshops can focus some programming on climate resilience and how it intersects with gender. Gender targets can be established for female participation.

5 ANNEXES

ANNEX 1. RESPONSE TO STAKEHOLDER COMMENTS BY EVALUATORS

	REPORT SECTION	COMMENT	EVALUATION OFFICE'S COMMENT	CONSULTANT'S REPLY
Project Board Comments				
1	General Comment 1	<p>I am attaching some proposed comments and edits in the attached version of this terminal evaluation of the NAP GSP.</p> <p>I think it is important to point out that this project has been very much about building on, reinforcing and using existing institutional structures at country level, rather than seeking to develop new ones. At the same time we do agree that in the natural course of events, some adjustments to existing structures to reflect the need for NAP integration could be expected to occur at national level. I find it hard to believe that there is no evidence of this in all 16 countries though</p> <p>One of the lessons learned is around sharpening our ability to measure change in capacities and intent as result of the NAP GSP. One idea that we had, you will recall, was around the development of a composite index to try to measure this kind of change. The fact that it is not easy to measure does not mean that it isn't there, and as we all know there is plenty of anecdotal evidence to support the fact that NAP GSP activities have led to a strengthening of resolve and ability to integrate adaptation into planning.</p>	<p>Consultant should consider <i>institutional sustainability</i> against what the project was designed to deliver. More information can be sought from UNDP, UNEP or UNITAR for examples of change or improvement in institutional structures of beneficiary countries</p> <p>The evaluation consultant to consider this for revision in the report – As suggested, this can be picked up as a lesson for the expanded GSP. Further information can be sought from UNDP, UNEP or UNITAR</p>	<p>We considered the sustainability aspect against what was intended in the project document. The theory of change of the project made some significant assumptions about what would be considered “sustainable” which we feel did not materialize. We also based our evaluation on information made available. Please also note that we are not saying the project is not sustainable, we are merely saying we could not find conclusive evidence.</p>

	REPORT SECTION	COMMENT	EVALUATION OFFICE'S COMMENT	CONSULTANT'S REPLY
	General Comment 2	While the gender dimension could have been stronger it was an element in the planning of activities in many of the countries and this also needs to be fully reflected (we provided a few edits along these lines).	The evaluation consultant to consider this for revision in the report	We have adjusted the analysis on gender. The rating, however does not change, as explicit evidence (written documentation) did not allow for triangulation.
	General Comment 3	The NAP GSP launched a MOOC on adaptation reaching a worldwide audience of more than 8000. We think that such an innovative initiative that increased visibility beyond the usual players and received more than 20,000 forum posts, should be recognized.	This is an important example of on <i>communication and public awareness</i> - evaluation consultant to consider this for inclusion in the report	The MOOC was considered and listed in the delivered outputs.
2	General Comment 4	Please find attached the MOOC's final reports as produced by UNITAR, University of Geneva and UNEP. These are based on the course analytics and statistics (registrations, level of attendance, overall reach, disaggregated data, etc.) and can provide useful evidence on MOOC's impact to be included in the NAP GSP terminal evaluation report.	Related to the comment above, the evaluation consultant to consider this for inclusion in the report – evidence attached separately	The MOOC was explicitly listed among the delivered outputs.
3	Para. 2	16 if you count in Guinea	The evaluation consultant to consider this for revision in the report	Noted and corrected
4	Para. 2	Under the same project, a one-on-one support to Guinea has been provided in April-May 2016 by UNDP and UNITAR. You might want to include it.	The evaluation consultant to consider this for revision in the report	Noted and corrected, however this happened after the evaluation was completed.
5	Para. 5	Same comment as above (16 if you count in Guinea)	The evaluation consultant to consider this for revision in the report – related to comment in para. 2	Noted and corrected
6	Para. 16	The idea at the basis of the NAP process is to build on existing governance, legal, coordination, etc. structures. Perhaps this (creation of NEW structures), as an indicator of performance, could be reframed.	Related to comment 1 above Consultant should consider <i>institutional sustainability</i> against what the project was	This is noted, and it was clarified in the report. However, since we were required to evaluate against project indicators, our assessment merely reflects what was intended in the project document.

	REPORT SECTION	COMMENT	EVALUATION OFFICE'S COMMENT	CONSULTANT'S REPLY
			designed to deliver. More information can be sought from UNDP, UNEP or UNITAR for examples of change or improvement in institutional structures of beneficiary countries	It was noted however that this expectation may not have been realistic
7	Para. 25	As for Mauritania, Guinea, Lesotho training activities, women's groups were purposely invited to attend into the capacity building initiatives and managed to attend.	Information provided but further clarification can be sought from UNEP and UNDP e.g. participants list etc (<i>Stakeholder participation</i>)	Noted and integrated
8	Recommendation 6	In order to increase gender sensitivity of the project, a gender analysis should be integrated in the initial project Theory of Change, since simply including gender disaggregated data/statistics on participation for example does not mean analysing and questioning the biases that generate the differentiation of climate change impacts and that are woven into societal systems.	Details of these can be included in the recommendation 6 for the expanded phase (<i>Recommendations</i>) - Some discussion in the ToC would also strengthen the recommendation	Noted and integrated
9	Para. 51	Lesotho completed a draft stocktaking report following a UNDP-UNITAR NAP-GSP mission in October 2015.	The evaluation consultant to consider this for revision in the report (<i>Achievement of Outputs</i>)	Noted and integrated
10	Para. 62	The NAP country level training has been implemented in 18 countries in 2015. You might want to double check with GIZ and include this number.	Para. 62 currently give examples of only 2 countries. The evaluation consultant to consider this for revision in the report – Further details can be sought from UNDP and UNEP (<i>Achievement of Outputs</i>)	Noted. We did not obtain sufficient information on these additional trainings. It did not however affect the overall rating which was already high.

	REPORT SECTION	COMMENT	EVALUATION OFFICE'S COMMENT	CONSULTANT'S REPLY
Additional EOU Comments				
11	General Comment 5	<p>Clearly describe how sustainability is affected by financial resources. I think that this analysis is missing. I think that by explaining that, it would be easier to justify why limitations in financial resources could be a problem for sustainability. Then the consultant should emphasize and further elaborate on the statement that the project was designed only to support the initiation of the NAP process (which is factually sound).</p> <p>They should also describe how financial sustainability was considered in the project design, whether it was adequate and whether adequate action was taken to mitigate sustainability risks.</p> <p>But the emphasize in this section should be more on the capacity of the countries to seek additional financial resources, i.e. was the project able to ensure that the countries have the capacity to seek further financing after the project end (if this is deemed important for sustainability). We can't really judge the project against whether additional financing is received or not, but only against whether the project was able to build the enabling environment for the countries to seek additional funding (again if this was deemed important for sustainability).</p> <p>The assessment should focus on the project's ability to build capacity to seek new funding. However, the consultants can and should mention that this does not guarantee that new funding will come through and if there is no new funding, then sustainability will be</p>	<p>The evaluation consultant to consider this for revision in the report <i>(Financial Sustainability)</i></p> <p>The evaluation consultant to consider this for revision in the report <i>(Financial Sustainability)</i></p> <p>The evaluation consultant to consider this for revision in the report <i>(Financial Sustainability)</i></p> <p>The evaluation consultant to consider this for revision in the report <i>(Financial Sustainability)</i></p>	<p>This comment has already been considered. We feel that the project has created a NAP process which continues to be entirely dependent on external voluntary resources being provided. While there is evidence that countries have succeeded in mobilizing some resources for some aspects of the NAP, full country ownership would dictate that national resources should be invested in this process. Our discussions with countries clearly indicated that there continues to be a strong expectation that the NAP process be externally funded in its entirety. This places a risk on the NAP process which we feel this support program did not succeed in addressing, even if it was only intended to "initiate" the process.</p> <p>As to the countries' capacity to seek resources, we also did not feel that this was achieved in all cases. The countries who pursued mobilization of resources from the GEF or GCF have only done so because their implementing agencies pushed for the integration of NAP elements into planned projects. Furthermore, because of the uncertainties in fund availability, many of the countries who developed PIFs have not received the funds. We consider this to be moderately satisfactory as a result.</p>

	REPORT SECTION	COMMENT	EVALUATION OFFICE'S COMMENT	CONSULTANT'S REPLY
		jeopardized, but by not holding the project accountable for it.		
		I think that the efficiency section is quite a lot also about project supervision. I'm not sure how the increased availability of UNEP staff would have increase efficiency (maybe cost effectiveness?). Please clarify this further since it's really not clear what they mean by that and why increased availability would increase efficiency (based on what evidence also?). It is not really explained it in the main report either. Also, they shouldn't mix efficiency and effectiveness, i.e. if the section is about efficiency; it's good not to refer to increased effectiveness since it gets confusing.	The evaluation consultant to consider this for revision in the report (<i>Efficiency</i>)	The comment about efficiency was mentioned by one GSP stakeholder. It was assumed that increased availability of staff would have increased speed of delivery of service and assistance to countries. There were no other additional information elements to be considered as part of the efficiency; all of it depended on the ability of GSP staff to mobilize and deliver support to countries.
Previous Project Team Comments				
		Output-level indicators are not required by the GEF		The evaluation notes several times that the project could have been strengthened by including SMART output-level indicators. While it is duly noted that the GEF does not require output-level indicators in CEO endorsement documents, the evaluation has kept reference to this, as it found some flaws in the project's results logic that might have been corrected through the use of output-level indicators. The evaluation finds that output-level indicators can be very effective in helping track progress, particularly in a Expanded phase of the GSP. This is all the more relevant given that this programme is process-oriented and it may be challenging to measure results without concrete indicators.
		Financial sustainability rating should be changed from "moderately unlikely" as funds have been mobilized, project proposals are in the GEF pipeline, and plans		The evaluators have changed the rating from "moderately unlikely" to "moderately likely". While acknowledging that plans are in place for external

	REPORT SECTION	COMMENT	EVALUATION OFFICE'S COMMENT	CONSULTANT'S REPLY
		for external funding are being put in place.		funding, the evaluators maintain that the project has not demonstrated the mobilization of national funds for NAP development. Furthermore, the evaluation notes that there are several variables and uncertainties impeding the financial sustainability of the GSP achievements, including the unpredictability of funding availability, the variability of partner preferences and priorities, and the inequalities among countries. As the NAP is meant to be a country-driven process, the evaluators would grant a highly satisfactory rating only if evidence were provided that countries had plans in place to allocate national funds to NAP development.

ANNEX 2. LIST OF INTERVIEWEES/PERSONS CONSULTED

Date	Location	Name	Organisation/ Function	E-mail
October 13, 2015	Bonn	Nina Raasakka	UNEP GEF Task Manager	Nina.raasakka@unep.org
		Rohini Kohli	NAP GSP Coordinator (UNDP)	Rohini.kohli@undp.org
		Prakash Bista	NAP GSP Coordinator (UNEP)	Prakash.bista@unep.org
		Zhe Yuan	NAP GSP Program associate	zhe.yuan@undp.org
October 13, 2015	Bonn	Bubu Jallow Alpha Jallow	The Gambia	bubupateh@yahoo.com Ajallow2010@hotmail.com
October 14, 2015	Bonn	Paul Desanker	UNFCCC Secretariat	PDesanker@unfccc.int
October 14, 2015	Bonn	Ilaria Gallo Angus McKay	UNITAR	Ilaria.gallo@unitar.org Angus.mckay@unitar.org
October 15, 2015	Bonn	Fred Kossam	Malawi	fredkossam@yahoo.com
October 15, 2015	Bonn	Richard Muyungi	Tanzania	Tanzania37@hotmail.com
October 15, 2015	Bonn	Pradeep Kurukulasuriya Alex Simbalawi	UNDP Regional Hub, Bangkok Global Water Partnership	pradeep.kurukulasuriya@undp.org alex.simbalawi@gwp.org
October 16, 2015	Bonn	Nele Buenner	GIZ	Nele.buenner@giz.org
October 16, 2015	Bonn	Hery Rakotondravony	Madagascar	Hery.rado@aol.com
October 16, 2015	Bonn	Ermira Fida	UNEP, Adaptation Unit	Ermira.fida@unep.org
October 17, 2015	Bonn	NAP GSP Board meeting (all members present)		
Dec. 18, 2015	Antanariv o, Madagascar	Jane Razanamiharisoa	Chef du Service de l'adaptation aux effets du changement climatiques, Madagascar	jrazanamiharisoa@ymail.com
Dec. 21, 2015	E-mail	El Wavi Sidi Mohamed	Climate Focal Point, Mauritania	elwavi.sm@gmail.com
Feb. 24, 2016	Skype	Rohini Kohli, Srilata Kammila	UNDP- Technical Staff UNDP- RTA	Rohini.kohli@undp.org
March 8, 2016	E-mail	Claudia Ortiz	UNDP Former RTA for GSP	claudia.ortiz@undp.org

List of people informally consulted before or during the evaluation:

- Ibila Djibril, LEG member (Benin), at the Niger NAP workshop, October 2015
- Medard Ouinakhonen, Benin, at the UNFCCC COP in Paris, December 2015
- Waberi Mohamed Roble, Djibouti, at the UNFCCC COP in Paris, December 2015
- Ismael Bachirou, Comoros, at the UNFCCC COP in Paris, December 2015

ANNEX 3. DOCUMENTS CONSULTED

Documents:

- Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) - UNDP Project Document
- Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) – UNEP Project Document
- Minutes of the First Project Board Meeting of LDCF Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs) (2013)
- Informal Coordination Meeting Minutes (2013)
- A Roadmap for Developing a National Adaptation Plan for Bangladesh (2014)
- Consolidated Review of “Plan National D’Adaptation aux changements climatiques (PNA) du Burkina Faso, version 2”
- Cambodia’s National Adaptation Plan Process
- Stocktaking report and recommendations for a road map for advancing Cambodia’s NAP process
- Le processus de plan national d’adaptation aux Comores (draft)
- Rapport de recensement et recommandations de feuille de route pour faire avancer le processus PNA des Comores
- The National Adaptation Plan Process in Madagascar (draft)
- Stocktaking report and recommendations for a road map for advancing the NAP process in Madagascar
- Gambia National Adaptation Plan Process
- Stocktaking report and a road map for advancing Gambia’s NAP process (2015)
- Liberia’s National Adaptation Plan Process
- Stocktaking report and preliminary road map for advancing Liberia’s NAP process
- Le processus de plan national d’adaptation au Niger
- Rapport de recensement et recommandations pour une feuille de route pour faire avancer le processus PNA du Niger
- Supporting LDCs to Advance their National Adaptation Plans- Africa Regional Training Workshop (Anglophone)- (2014)
- Aider les PMA a faire avancer leurs Plans Nationaux D’Aadaptation- Atelier regional de formation en Afrique (francophone) (2014)
- Supporting Countries to Advance their National Adaptation Plan Process- Summary Report- Asia Regional Training Workshop (2014)

- Submission by the United Nations Development Programme and the United Nations Environment Programme on the establishment and implementation of a Global Support Programme for assisting Least Developed Countries with country-driven processes to advance their National Adaptation Plans, as per the invitation from 18/CP.19 paragraph 4 & 5
- Submission by the United Nations Development Programme and the United Nations Environment Programme on the establishment and implementation of a Global Support Programme for assisting Least Developed Countries with country-driven processes to advance their National Adaptation Plans, as per the invitation from 18/CP.19 paragraph 4 & 5
- Synthesis Report Two Years On Progress and Lessons Learned from the National Adaptation Plan Global Support Programme (NAP GSP)
- Revised Budget 2015 & Variance Analysis
- Expenditure statement and unliquidated obligations report
- UNEP GEF PIR Fiscal Year 15 (1 July 2014 to 30 June 2015)
- UNEP GEF PIR Fiscal Year 14 (1 July 2013 to 30 June 2014)
- Workplan Timeline for LDCs NAPs Project
- GEF Comments on NAP-GSP Project
- LDCF/SCCF Adaptation and Monitoring Assessment Tool
- GIZ: Monitoring of NAP Training (spreadsheet)
- GIZ: Final NAP Brochure
- Project Board Members List (incomplete)
- Country Contact List (incomplete)
- Email feedback from countries

Presentations:

- Launching the NAP in Malawi (2015)
- Roadmap to Advancing Cambodia's NAP (2015)

ANNEX 4. PROJECT COSTS AND CO-FINANCING TABLES³⁰

Project Costs

Component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)
Component 1	737,000		
Component 2	631,000	761,882	
Component 3	180,000	154,860 (UNEP)	
Project Management			
- UNDP	82,000		
- UNEP	98,000	60,258	

Co-financing

Co-financing (Type/Source)	UNEP		UNDP		Other*		Total		Total Disbursed
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants	2,000,000								
- In-kind support	500,000		5,900,000						
TOTALS	2,000,000		5,900,000						

³⁰ The evaluators were unable to get adequate data for this section

ANNEX 5. RESULTS AND LESSONS LEARNED

About the Project

The objective of the Global Support Programme (GSP), implemented from 2013-2015, is “to strengthen institutional and technical capacities for iterative development of comprehensive National Adaptation Plans (NAPs) in Least Developed Countries (LDCs)”. The Programme is global in nature, targeting LDCs, and is implemented jointly by UNDP and UNEP. While LDCs were targeted in general, 16 LDCs received one-on-one support. This included: Angola, Bangladesh, Burkina Faso, Cambodia, Comoros, Djibouti, Guinea, Liberia, Lesotho, Madagascar, Malawi, Mauritania, Niger, The Gambia, Senegal, Tanzania,

The project was supported through the GEF-administered Least Developed Countries Fund (LDCF) with resources of US\$1,998,000 in total through two Medium-Sized grants – US\$999,000 channelled through UNEP and US\$999,000 channelled through UNDP.

The Terminal evaluation was undertaken at the completion of the project from October 2015 to March 2016.

Relevance

In response to the invitation made by the COP 17 to the UNFCCC, in June 2013, UNDP and UNEP established a Global Support Programme for assisting LDCs with their respective country-driven efforts to advance the NAP process.

The goal of the programme is to facilitate effective medium- to long-term planning for adaptation to climate change in LDCs. NAP support is based on three main pillars: i) institutional support; ii) technical support; and iii) knowledge brokering. The objective of these pillars is to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in LDCs, ensuring that these are country-driven, and based on existing national development priorities and strategies and processes. The goal and objective of the NAP GSP will be achieved when LDCs have taken steps on their own to: i) develop work plans to advance their respective NAP process, and start to integrate medium- to long-term adaptation planning processes within existing national and sub-national development plans; ii) use existing tools and approaches available to support key steps in the NAP process; and iii) exchange lessons learned and knowledge through South-South and North-South Cooperation.

Performance

Overall, the project receives a **satisfactory** rating in the terminal evaluation. The project has been successful in mobilizing project partners, building linkages with other multilateral initiatives and demonstrating an effective and collaborative joint-implementation model (UNDP and UNEP) in managing a global programme.

The project has also leveraged numerous resources to produce materials and trainings relevant to the development of the NAP. The project has supported 16 LDCs (four more than was anticipated at project design) through one-on-one support to advance on their adaptation planning by developing stocktaking reports and draft roadmaps.

The evaluation finds the logical framework is structured such that the project is focused on the delivery of NAP-related products, but that the application and impact of the products are challenging to assess. The phrasing of targets and indicators should be strengthened for improved assessment of results and consequent impact. Clearer targets and indicators would also lead to an improved

understanding among beneficiaries of what the project is to concretely deliver and how its impact can be measured. One of the main challenges to address in an expanded phase is how technical products and trainings can be translated into measurable capacity within the national context of LDCs.

Factors Effecting Performance

There was documented high level of participation in technical trainings and meetings. The project was successful in promoting cross-ministerial participation, and inter-sectoral collaborations. There was however, no documented evidence of participation by vulnerable groups, or of gender indicators.

An implicit theory of change was encapsulated in the logical framework, which the evaluation found was inadequate in making the links between outcomes and the objective. The formulation of some of the outputs led to some confusion on expected results, the formulation of some of the outcomes read as output-level results, while the lack of output-level targets made progress difficult to assess.

There was evidence of satisfactory technical and financial oversight. There was strong evidence of utilization of complementarities with WHO, FAO, GIZ, GWP, UNISDR, UNITAR in project delivery.

Beyond participation in UN processes (LEG meetings), there was no documented evidence of countries being able to provide input into the project design. There was however, documented evidence of countries specifying needs particularly through stocktaking reports and roadmaps. There was documented evidence of knowledge networks established, technical guidance provided, and institutional capacity building provided.

UNDP and UNEP were able to implement adaptive management to respond to budget constraints, and were able to provide technical guidance.

Key Lessons Learned

Based on the findings of the evaluation, a number of lessons can be learned that can be of high relevance to future projects with similar goals.

Lesson 1: Projects/programme can be effectively managed in joint collaboration by two different organizational entities. UNDP and UNEP effectively managed this project and brought their value added to the initiative, while being able to leverage targeted support from external partners. Conditions which made this possible included: (i) shared office sites, (ii) clear delineation of work and agreement on joint workplan; (iii) historical experience; (iv) separate budgets to be managed according to individual UN processes.

Lesson 2: Multiple project partners can support successful implementation of the programme, particularly when budgets are limited. Given that the project was global in scope, covering different regions and levels of adaptation planning, project partners with expertise in different contexts complemented the project team and conducted trainings, developed tools and methodologies and supported LDCs in their adaptation planning. Constant communication, demonstration of synergies and highlighting the importance of climate resilience relative to other project partners' work, allowed the GSP programme to leverage such support.

Lesson 3: Sensitization and trainings will not automatically translate into capacity. One of the broad assumptions in this project is that receiving particular technical, institutional and knowledge inputs will translate into capacity. It would be useful to deconstruct that assumption and examine the variables along that chain that can be improved for long-term sustainable capacity-building.

Lesson 4: Countries seek opportunities to learn from one another's experiences and appreciate venues for South-South learning. The feedback from interviews stressed how informative and appreciated the South-South interactions and case studies were in order to improve national planning. The partnerships built during this project should continue and serve as a source of meaningful accompaniment during the development of NAP-related policies. Rosters of South-based experts could be developed for support and consultation.

Lesson 5: Stakeholder consultation at project design stage and during implementation could strengthen understanding of expected results, and improve project results. The misunderstandings around project results and terminology could have been mitigated if stakeholder participation was solicited at the design stage. The causal pathways may also have been improved.

Lesson 6: Programmes of support require indicators to document how trainings and capacity building will be converted to policy change. One of the challenges with this programme of support, which is dealing with a process, is to monitor whether policy change occurs at the end. Specific indicators could be useful in discerning which are concrete policy shifts and changes which result from such a programme.

Lesson 7: A project approach may not adequately capture the scope of this type of programming. Given that the GSP is meant to be part of an ongoing process, the input-output project model may not adequately measure the impacts of such programming. This type of programming may be better characterized as an enabling activity and programmed as a long-term support mechanism, with adequate resources.

ANNEX 6. SURVEYS AND QUESTIONS

*Introductory e-mail, skype invitations were sent on October 28, 2016; Surveys were sent in December 1, 2015, and re-sent December 12, 2015.

Évaluation finale du programme d'appui mondial pour l'avancement des plans nationaux d'adaptation (PAN)

Questionnaire

Le but de ce questionnaire est d'obtenir les commentaires des bénéficiaires sur le programme d'appui mondial pour l'avancement des plans nationaux d'adaptation (PAN) afin de compléter l'évaluation finale. Sous la politique d'évaluation du FEM, l'évaluation finale est effectuée à la fin du projet pour évaluer la performance du projet (en termes de pertinence, efficacité et efficience), et de déterminer les résultats et les impacts (réels et potentiels) découlant du projet, y compris leurs durabilité. L'évaluation a deux objectifs principaux: (i) de fournir des preuves des résultats pour répondre aux exigences de comptabilité, et (ii) de promouvoir l'amélioration opérationnelle, apprendre et partager des connaissances acquises grâce au projet.

Ce questionnaire comporte deux sections et deux types de questions:

La Section 1 est composée de questions « oui » ou « non » avec une colonne «Explication» dans laquelle vous pouvez fournir des commentaires supplémentaires sur vos réponses.

La Section 2 est composée de questions ouvertes pour lesquelles vous pouvez documenter vos expériences spécifiques de manière plus détaillée.

Nous vous encourageons à remplir ce questionnaire en consultation avec les différentes parties prenantes de votre pays.

Section 1

Atteinte des résultats		
Question	Oui /Non	Explication
1. Étiez-vous, grâce à l'appui de ce programme, en mesure d'effectuer un bilan ou une analyse approfondi des lacunes et des besoins sur vos capacités d'adaptation?		
2. Étiez-vous, grâce à l'appui de ce programme, en mesure d'identifier les ressources nécessaires pour finaliser le PAN? Si oui, veuillez expliquer lesquelles.		
3. Le programme vous a-t-il aidé à élaborer des feuilles de route opérationnelles?		
4. Une équipe nationale a-t-elle été identifiée pour mener ce programme sur l'échelle		

nationale?		
5. Le gouvernement national a-t-il reçu des formations sur l'utilisation des outils et des méthodologies pour faire progresser la planification et la budgétisation de l'adaptation à long terme?		
6. Avez-vous développé des documents PAN décrivant les lacunes et le soutien budgétaire nécessaire (y compris un inventaire de l'expertise nationale ou internationale et d'autres ressources), et des échéanciers pour la réalisation de l'avancement du PAN? Si ce n'est pas le cas, veuillez expliquer quels étaient les obstacles principaux au développement de ces documents.		
7. Les institutions nationales ont-elles été renforcées pour faire avancer les processus de planification de l'adaptation moyenne à long terme? Si oui, veuillez préciser lesquelles et comment.		
8. Les mécanismes de soutien du programme ont-ils suffi pour répondre aux priorités déterminées par votre pays pour développer le PAN?		
9. Le soutien apporté par le programme a-t-il renforcé l'incorporation de l'adaptation dans les différents secteurs? Si oui, veuillez spécifier dans quels secteurs et comment.		
10. Le programme a-t-il rendu accessible des outils techniques, des méthodes détaillées par secteur, des politiques, des études de cas, des meilleures pratiques dans les langues locales pour les parties prenantes dans votre pays? Si oui, veuillez expliquer lesquels ont été fournis.		
11. Les formations techniques fournies ont-elles été pertinentes et adaptées à votre		

contexte national?		
12. A la fin du projet, les guides et ressources appropriées ont-ils été développés et vous ont-ils été communiqué ? Si oui, veuillez expliquer quels mécanismes vous avez utilisés pour accéder aux outils et méthodologies (ALM, APAN, AAKNet) ³¹ ?		
13. A-t-il une meilleure collaboration / Sud-Sud et Nord-Sud dans le processus de développement du PAN suite à ce programme? Si oui, veuillez expliquer comment le programme a facilité ceci.		
14. Les acteurs nationaux ont-ils participé au développement ou à la conception du programme?		
15. Est-ce qu'il y a eu un renforcement des capacités des autres ministères que celui de l'environnement? Si oui, veuillez préciser lesquels.		
16. Le programme disposait-il de ressources suffisantes pour sa mise en œuvre?		
17. Les objectifs et les composantes du projet étaient-ils clairs et réalisables dans les délais? Si ce n'était pas le cas, veuillez expliquer.		
18. Des structures de gestion adéquates étaient-elles mises en place? Si ce n'était pas le cas, veuillez expliquer.		

Section 2

1. Quels étaient les principaux bénéfices du programme?
2. Quels étaient les défis, contraintes et opportunités auxquels vous avez fait face lors de mise en œuvre ? Comment avez-vous géré ces obstacles (gestion adaptative)?
3. Quelles étaient les conséquences du programme?

³¹ Adaptation Learning Mechanism (ALM), Asia-Pacific Adaptation Network (APAN); Africa Adaptation Knowledge Network (AAKnet)

4. Que se serait-il passé sans le programme en ce qui concerne la planification (moyen à long-terme) de l'adaptation?
5. Comment s'est passée la collaboration entre les unités du PNUE, du PNUD et de l'équipe de votre pays? Les mécanismes de coordination étaient-ils adéquats?
6. Comment allez-vous maintenir les effets positifs du programme?
7. Dans quelle mesure les résultats et impacts du projet dépendent des ressources financières? Quelle est la probabilité que les ressources financières adéquates soient ou deviennent disponibles suite au projet? Y a-t-il des risques financiers qui peuvent mettre en péril la durabilité des résultats du projet?
8. Y a-t-il des signes précoces de l'impact de l'appui institutionnel et la capacité fournie par le projet, menant à une augmentation d'information et de sensibilisation influençant la prise des décisions au niveau national, y compris des décisions politiques? Avez-vous perçu une utilisation accrue d'outils et d'approches qui font progresser le processus du PAN?
9. Quelles sont les connaissances techniques qui vous ont manqué lors de la mise en œuvre du programme dont vous souhaiteriez bénéficier lors d'une deuxième phase?

Avez-vous d'autres commentaires ou des leçons tirées de votre expérience que vous aimeriez partager?

Terminal Evaluation of the Global Support Programme for the Advancement of the National Adaptation Plans (NAPs)

Questionnaire

The purpose of this questionnaire is to obtain beneficiaries' feedback on "**Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)**" program for the purposes of completing the Terminal Evaluation. In line with the GEF Monitoring and Evaluation Policy, the Terminal Evaluation is undertaken at 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 evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned. Feedback from beneficiary countries' will be invaluable in evaluating the programme.

There will be two sections and two types of questions that you encounter:

Section 1, will consist of Yes or No questions with an "explanation" column where you can provide additional commentary on your responses.

Section 2 is made up of open-ended questions under which you can document your country-specific experiences in greater detail.

We encourage you to complete this questionnaire with consultation from different stakeholders.

Section 1

Attainment of Results			
Question	Yes	No	Explanation
1. Were you, through the support of this programme, able to conduct a thorough stocktaking gaps/needs analysis?			
2. Were you, through the support of this programme, able to identify which inputs your country required to finalize the NAP? If yes, please explain which ones.			
3. Did the programme assist you in developing operational roadmaps?			
4. Was a national team identified to lead on this programme?			
5. Was the national team trained in the use of tools and approaches to advance medium- to long-term adaptation planning and budgeting?			
6. Did you develop NAP papers outlining country-specific gaps that need to be filled, budget support required (including an inventory of national or international expertise and other inputs), and timelines for deliverables related to the advancement of NAPs? If no, explain what the key impediments were.			
7. Were institutions strengthened to advance medium-to-long-term adaptation planning processes? If yes, please specify which ones and how.			
8. Were the support mechanisms under the programme sufficient to assist you in developing the NAP as determined by your country-specific priorities?			
9. Did the support provided by the programme lead to increased information on adaptation being incorporated in different sectors? If yes, please specify which sectors.			
10. Were technical guidance tools, detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in local languages to the stakeholders in your country? If yes, explain which ones were provided.			
11. Was the technical guidance provided relevant to your country-specific circumstances?			
12. By the end of the project, were appropriate guides and related resource materials developed and dispersed to you? If			

yes, please explain which mechanism you used (ALM, APAN, AAKNet) ³²			
13. Was there any evidence of increased/improved South-South and North-South collaboration in the NAP development process? If yes, please explain how the programme facilitated this.			
14. Were national stakeholders involved in the programme design?			
15. Was capacity building conducted for ministries other than the Environment? If so, please elaborate which ones?			
16. Did the programme have sufficient resources for implementation?			
17. Were the project's objectives and components clear, practicable and feasible within its timeframe? If no, please explain			
18. Were adequate project management structures in place? If no, please explain			

Section 2

1. What were the key benefits of the programme?
2. What challenges, constraints and opportunities did the programme face in the implementation phases and how did you deal with these (adaptive management)?
3. What were some of the consequences of the programme?
4. What would have happened without the programme?
5. How was the overall collaboration between the units of UNEP, UNDP and your country unit? Were the coordination mechanisms adequate?
6. How will you sustain positive benefits from the programme?
7. To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources³³ will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
8. Is there any early evidence of the impact of the institutional and capacity support provided by the project, leading to increased information and awareness influencing political decision making at national levels including national and sectoral planning processes? Was there increased use of tools and approaches that advanced the NAP processes?
9. What technical or knowledge inputs were missing from programme implementation that you would benefit from if a second phase were to be implemented?
10. Do you have any other feedback or lessons learned that you would like to share?

Key questions for Board Members and supporting agencies

³² Adaptation Learning Mechanism (ALM), Asia-Pacific Adaptation Network (APAN); Africa Adaptation Knowledge Network (AAKnet)

³³ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

Relevance

1. In your opinion, is the NAP GSP relevant to country efforts to plan adaptation?
2. How is the NAP process and the GSP relevant to your organization?

Effectiveness

3. In your view, was the NAP GSP effective in delivering support, building capacity, and disseminating knowledge to countries?
4. In your view have the NAP GSP guidance and tools been useful, relevant to countries?
5. What has been the contribution of your organization to the NAP process and the GSP?

Efficiency

6. In your views, have the tools, approaches and methods promoted by the GSP been the most efficient to achieve the objectives?
7. Has the GSP achieved the maximum level of its possible contribution to the NAP process?

Sustainability

8. Do you feel the results of the GSP are sustainable? And why?
9. Do you see a perspective for upscaling/replicating results of the GSP so far?
10. Would you do anything differently in a subsequent phase?

Questions for UNDP**Rohini & Srilata****General Administrative**

1. What was your role in project management?
2. How would you characterize the project management structure for implementing the GSP? Was it effective? What worked? What were some of the challenges? How was the overall collaboration between different functional units of UNEP and UNDP involved in the project? What coordination mechanisms were in place? Were the incentives for collaboration adequate?
3. What types of support did the UNDP specifically provide to beneficiary countries? Are there interventions you were not able to carry out due to financial or organizational reasons?
4. What was your relationship to the FMO? Were funds provided in a timely manner?

Relevance

5. How is the NAP process and the GSP relevant to your organization?

Effectiveness

6. In your view, was the NAP GSP effective in delivering support, building capacity, and disseminating knowledge to countries? Explain how.
7. In your view did you witness concrete policy changes at the national level due to project implementation? Elaborate which ones.
8. What were some challenges in increasing adaptive capacity on the ground?
9. How did the project translate trainings and tools into measurable capacity on the ground?
10. How did administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. influenced project performance?

Efficiency

11. In your view, have the tools, approaches and methods promoted by the GSP been the most efficient to achieve the objectives? What could have been improved to achieve objectives?
12. Has the GSP achieved the maximum level of its possible contribution to the NAP process?
13. What cost- or time-saving measures were put in place to bring the project as far as possible in achieving its results?
14. Were there any delays in project execution?
15. What pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. were built on to increase project efficiency?

Sustainability

16. Is there any evidence that the 15 countries selected for one-on-one support will be able to depend on national financial resources to maintain and continue the planned activities?
17. To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources?
18. In your view, was there any evidence of new governance structures, policies, sub-regional agreements, legal and accountability frameworks that would indicate institutional sustainability? Please provide specific examples.
19. Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained?
20. Will the South-South and North-South cooperation continue to enhance capacities in the formulation of NAPs? What evidence is there of this?
21. Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to utilize the tools, approaches and roadmaps in the development of NAPs? Describe.
22. Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders?
23. Do you see a perspective for upscaling/replicating results of the GSP so far?
24. Would you do anything differently in a subsequent phase?
25. How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? How will these be sustained?

Factors affecting project performance

26. Did you find that the technical and financial oversight was adequate during project implementation?
27. In your opinion, did stakeholders and beneficiaries fully understand the project?
28. How did you include vulnerable groups in project activities?
29. What was your approach to gender; how will women be empowered through this project?
30. Were countries able to input into project design?
31. Were the partnership arrangements properly identified/ were the roles and responsibilities negotiated prior to project implementation?
32. Were lessons from other relevant projects properly incorporated in the project design? Please provide examples.
33. To what extent the project implementation mechanisms outlined in the project document have been followed? Were these effective in delivering project milestones, outputs and outcomes? Were pertinent adaptations made to the approaches originally proposed?
34. Did amounts of co-financing materialize? Were additional funds leveraged for the project? Where from?
35. Were there any irregularities in procurement, use of financial resources and human resource management? Were measures taken to prevent such irregularities in the future?

Communication and Public Awareness

36. Were materials translated into local languages other than French and English?

37. Were any public awareness activities undertaken to communicate the project's objective, progress, outcomes and lessons?

Supervision Guidance & Backstopping

38. How well did the different guidance and backstopping bodies play their role and how well did they work? What were the strengths in guidance and backstopping and what were the limiting factors?
39. Were there any problems in project management, technical/institutional substantive issues in which UNEP/UNDP had a major contribution to make?
40. How was project supervision carried out? Were supervision plans adequate and followed?

Monitoring and Evaluation

41. How was information generated by the M&E system during project implementation? How was this information used to adapt and improve project execution, achievement of outcomes and ensuring sustainability?
42. Were the responsibilities for M&E activities clearly defined?
43. To what extent did the project engage key stakeholders in the design and implementation of monitoring?

ANNEX 7. EVALUATION TERMS OF REFERENCE

Objective and Scope of the Evaluation

1. In line with the GEF Monitoring and Evaluation Policy, the Terminal Evaluation is undertaken at 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 evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP, UNOPS and the main project partners including IFAD, WHO, FAO and UNITAR. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].
2. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultant as deemed appropriate:
 - (a) Has the project helped countries to develop operational roadmaps and institutions to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets?
 - (b) Were the support mechanisms developed and implemented by the project sufficient to assist LDCs in the development of NAPs as determined by country-specific priorities? Was the support developed in line with the Global Support Programme (GSP) as provided in the LDCF³⁴/SCCF³⁵ technical papers prepared by the GEF Secretariat?
 - (c) Is there any early evidence of the impact of the institutional and capacity support provided by the project, leading to increased information and awareness influencing political decision making at national levels including national and sectoral planning processes? Was there increased use of tools and approaches that advanced the NAP processes?
 - (d) Is there any early evidence of increased/improved South-South and North-South collaboration in the NAP development process? What lessons were learnt to sustain and/or improve these collaborations?
 - (e) How effectively and efficiently were the projects planned, coordinated and monitored? Did the projects have sufficient resources for projects implementation? What challenges, constraints and opportunities did the projects face in the implementation phases and how did they deal with these (adaptive management)? How can the lessons learnt from this project be harnessed for the Expanded NAP GSP that is currently under formulation?

Overall Approach and Methods

3. The Terminal Evaluation of the Project will be conducted by independent consultant under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Task Manager, the UNDP RTA, the UNEP Climate Change Sub-programme Coordinator, and the UNDP Global Head - Climate Change Adaptation Programming.
4. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close

³⁴ Least Developed Country Fund (LCDF)

³⁵ Special Climate Change Fund

communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

5. The findings of the evaluation will be based on the following:

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

- Relevant background documentation, inter alia UNEP Medium-term Strategy 2010-2013 and 2014-2017 and Programmes of Work 2012-2013 and 2014-2015, the goals of GEF-5 Climate Change Adaptation Strategy 2010-2014, LDCF focal area strategies and GEF's cross-cutting issues and programs on Capacity Development. The project also contributes to UNDP's Strategic Plan 2014-2017 to the following outcome areas:
 - Outcome 1: "Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded", output 1.4 "Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented", and
 - Outcome 5: "Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change", output 5.2 "Effective institutional, legislative and policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels" and output 5.3 "Gender responsive disaster and climate risk management is integrated in the development planning and budgetary frameworks of key sectors".
- 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 etc.;
- Project outputs as detailed in table 2 above;
- Evaluations/reviews of similar projects

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

- UNEP Task Manager
- UNDP RTA
- UNEP Project executing teams (ROAP)
- UNDP Project executing teams
- UNEP and UNDP Fund Management Officers;
- Project partners, including IFAD, FAO, WHO and UNITAR and other internal and external partners;
- Relevant resource persons;
- The Projects Board's meeting minutes;
- Representatives of the target LDCs that received assistance for the development of NAPs
- LEG

(c) **Surveys** – An e-survey will be conducted targeting the 12 countries that received assistance for the development of NAPs. An additional survey will also be conducted for all the beneficiary countries that received support through training workshops.

(d) **Field visits** – The consultant(s) will attend a UNFCCC Meeting to be held in Bonn, Germany on 13-15 October 2015 as an opportunity to meet the Representatives of the target LDCs that received assistance for the development of National Action Plans (NAPs). The consultant will also travel to Bangkok to meet the UNDP and UNEP project teams.

- (e) **Other data collection tools** as will be discussed an agreed between the evaluation consultant and evaluation manager

Key Evaluation principles

6. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.
7. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultant can propose other evaluation criteria as deemed appropriate.
8. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
9. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
10. **The “Why?” Question.** As this is a terminal evaluation and an expanded GSP is currently under formulation, a particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultant’s mind all through the evaluation exercise. This means that the consultant need to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain “*why things happened*” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “*where things stand*” at the time of evaluation.
11. A key aim of the evaluation is to encourage reflection and learning by UNEP and UNDP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.
12. **Communicating evaluation results.** Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and

clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Evaluation criteria

Strategic relevance

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

14. The evaluation will assess whether the project was in-line with the GEF Climate Change focal area's strategic priorities and operational programme(s).

15. The evaluation will also assess the project's relevance in relation to the goals of GEF-5 Climate Change Adaptation Strategy 2010-2014, LDCF focal area strategies and GEF's cross-cutting issues and programs on Capacity Development, UNEP's mandate and its alignment with UNEP's policies (including the MTS 2010-2013 and 2014-2017; Strategic Frameworks 2010-2013 and 2016-2017, PoWs 2012-2013, 2014-2015 and 2016-2017; and the Programme Framework 2016-2017 for the Climate Change Subprogramme); and strategies at the time of project approval and UNDP's Strategic Plan 2014-2017. The evaluation will assess whether the project makes a tangible/plausible contribution to higher level results specified in the aforementioned GEF, UNEP and UNDP strategy documents. The magnitude and extent of any contributions and the causal linkages should be fully described.

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

- i) *Alignment with the Bali Strategic Plan (BSP)*³⁶. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- ii) *Gender balance*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance HR & GE?
- iii) *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
- iv) *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.
- v) *Safeguards*. Whether the project has adequately considered environmental, social and economic risks and established whether they were vigilantly monitored. Was the safeguard management instrument completed and were UNEP ESES requirements complied with?

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

³⁶ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

Achievement of Outputs

17. The evaluation will Effectiveness and milestones as presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness.

18. Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs?

Effectiveness: Attainment of Objectives and Planned Results

19. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

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

21. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).

22. The assessment of effectiveness will be structured in three sub-sections:

- (a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main question will be to what extent the project has contributed to (i) Countries having operational roadmaps and institutions to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (ii) Developing and enabling access for LDCs to tools and approaches to support key steps of the National Adaptation Plan (iii) Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process. Additional questions would what criteria and strategies were used to select the 12 LDCs for assistance in the development of NAPs; were the criteria and strategies effective and would they contribute to sustainability?
- (b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach³⁷. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to [intermediate states], and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The evaluation will also consider the likelihood that the intervention may lead to

³⁷

Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

- unintended negative effects (project documentation relating to Environmental, Social and Economic. Safeguards)
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document³⁸. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.
 - (d) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

Sustainability and replication

23. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits including factors that may impact on the planned/future expanded GSP. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

24. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to utilize the tools, approaches and roadmaps in the development of NAPs? Would the South-South and North-South cooperation continue to enhance capacities in the formulation of NAPs? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of HR and GE led to an increase in the likelihood of sustainability of project results?
- (b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources³⁹ will be or will become available to use capacities

³⁸ Or any subsequent **formally approved** revision of the project document or logical framework.

³⁹ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

- built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- (c) *Institutional framework*. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?
 - (d) *Environmental sustainability*. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

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

- (a) *catalyzed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;
- (b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- (c) contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;
- (d) contributed to *policy changes* (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
- (f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

26. *Replication* is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and determine to what extent actual replication has already occurred, or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

27. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its (severely constrained) secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.

28. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. For instance, the evaluation will consider similar efforts and processes supported by GEF to develop

National Action Plans in other comparable sectors such National Environmental Action Plans and National and Regional Sustainable Development Action Plans and assess to what extent the project made explored opportunities for linkages.

Factors and processes affecting project performance

29. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders⁴⁰ adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of projects identified? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

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

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

31. **Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users (such as relevant government institutions, UNEP and UNDP Country and regional offices and officers, project partners and other stakeholders) of project products. The TOC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between

⁴⁰ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) the approach(es) and mechanisms used to identify and engage stakeholders in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- (b) How was the overall collaboration between different functional units of UNEP and UNDP involved in the project? What coordination mechanisms were in place? Were the incentives for collaboration adequate?
- (c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
- (d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?
- (e) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.
- (f) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives such as GEF funded global Projects including "Assisting non- LDC Developing Countries with Country-driven Processes to Advance National Adaptation Plans (NAPs)" and "Expanding the Ongoing Support to Least Developed Countries (LDCs) with Country-driven Processes to Advance National Adaptation Plans (NAPs)" among other GEF, UNEP and UNDP projects. To what extent did the project explore opportunities for linkages?
- (g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

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

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

- (a) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?
- (b) How and how well did the project stimulate country ownership of project outputs and outcomes?

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

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (b) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- (c) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

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

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

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

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

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

- (a) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:
 - Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?

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

(b) *M&E Plan Implementation.* The evaluation will verify that:

- The M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- PIR reports were prepared (the realism of the Task Manager's assessments will be reviewed)
- Half-yearly Progress & Financial Reports were complete and accurate;
- Risk monitoring (including safeguard issues) was regularly documented
- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

6 The Consultant

39. For this evaluation, the evaluation will be undertaken by one Consultant. Details about the specific roles and responsibilities are presented in Annex 1 of these TORs. The consultant should have at least 10 years of technical/evaluation experience, including of large, regional or global programmes and using a Theory of Change approach; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making.

40. The consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation. The consultant will ensure together that all evaluation criteria and questions are adequately covered.

41. By undersigning the service contract with UNEP/UNON, the consultant certifies that (s)he has 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, (s)he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

42. The evaluation consultant will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.

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

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

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

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

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

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

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

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

50. [Optional] When data collection and analysis has almost been completed, the consultant will prepare a short **note on preliminary findings and recommendations** for discussion with the project team and the Evaluation Reference Group. The purpose of the note is to allow the consultant to receive guidance on the relevance and validity of the main findings emerging from the evaluation.

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

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

53. The consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The consultant will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

54. **Submission of the final evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.

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

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

57. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Task Manager. After reception of the Recommendations Implementation Plan, the Task Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six month until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make the period shorter or longer as required for realistic implementation of all evaluation

recommendations. Tracking points will be every six months after completion of the implementation plan.

Logistical arrangements

58. This Terminal Evaluation will be undertaken by an independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP Task Manager and UNDP RTA and project team (including UNEP and UNDP implementing and executing teams) will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

Schedule of the evaluation

59. Table 7 below presents the tentative schedule for the evaluation.

Table 7: Tentative schedule for the evaluation

Milestone	Deadline
Mission (UNFCCC Meeting) – Bonn, Germany	13-15 October 2015
Inception Phase	13-30 October 2015
Inception Report	30 October 2015
Mission to Bangkok	02-05 November 2015
Telephone interviews, surveys etc.	02-06 November 2015
Zero draft report	25 November 2015
Draft Report shared with UNEP Task Manager and UNDP RTA	30 November 2015
Draft Report shared with project teams	5 December 2015
Draft Report shared with stakeholders	10 December 2015
Final Report	21 December 2015

Annex 8: UNEP Evaluation Quality Assessment

Evaluation Title:

Terminal Evaluation of the UNDP/UNEP GEF project, “Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)”

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

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

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: N/A Final report: Executive summary provides a good overview of the evaluation findings	N/A	5
B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Major components of the background and project context were captured in the draft report. Final report: This section was enhanced by providing more detail on sections such as the Objectives and components; Roles and responsibilities of Kenya stakeholders; and project financing	5	6
C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental	Draft report: The draft inadequately covered relevance to UNDP strategies as well as to the UNEP MTS, POWs and Expected Accomplishments Final report: Comments dealt with and section improved	3	5

issues and needs, and UNEP strategies and programmes?			
D. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	<p>Draft report: The draft provided some detail on outputs and causality. However this could be improved upon.</p> <p>Final report: Good discussion of outputs and their contribution to outcomes and further relating them to the Reconstructed Theory of Change (RTOC)</p>	3	5
E. Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	<p>Draft report: A draft TOC was presented. However assumptions and drivers left out and linkages between the results levels were not fully explained. In particular intermediate states not integrated into the TOC and discussions</p> <p>Final report: Assumptions and drivers integrated into the final TOC and logical flow between the results levels</p>	3	5
F. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	<p>Draft report: Structure of the section not in line with the EO guidelines. However outputs, outcomes, targets, indicators and objective discussed at length.</p> <p>Final report: Improved discussion, including the linkages to impact made and discussed in the context of the TOC.</p>	3	5
G. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	<p>Draft report: Adequate discussion on sustainability</p> <p>Final report: Discussion on sustainability improved, especially financial sustainability which was discussed in more detail providing evidence for the change in rating.</p>	4	5
H. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	<p>Draft report: Adequate discussion on efficiency. However some discussion points required to be substantiated</p> <p>Final report: Section improved with better discussion and evidence</p>	4	5

I. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Section structure did not follow EO guidelines. The section on supervision, guidance and backstopping was missing from the report. Several discussion points required to be substantiated and cross-referenced appropriately Final report: Improvement on the section. Issues raised e.g. unsubstantiated discussions were clarified and the sections completed following EO guidelines.	3	4
J. Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Comprehensive conclusion provided. However there were some gaps in the conclusions and mismatch in the summary of ratings from the in-text ratings provided Final report: Conclusion discussion further improved and ratings made consistent	5	6
K. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Good summary of recommendations Final report: Good summary of recommendations	5	5
L. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Adequate lessons provided. However more discussion required to specify how the lessons could be effected. Final report: Final lessons improved providing backed with ample explanation for the lesson.	4	5
Report structure quality criteria			
M. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Report structure was not in line with the EO guidelines. Final report: Report better reflects the EO structure guidelines with annexes provided as required	3	5
N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the	Draft report: Some information lacked adequate triangulation and consistency between sections Final report: Final version improved. Details	4	5

triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	of data collection methods provided in the annexes		
O. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: English and grammar good Final report: English and grammar good	4	4
P. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Report structure was not fully in line with the EO guidelines. Final report: Final report now follows EO formatting guidelines as required	2	5
OVERALL REPORT QUALITY RATING		3.4	5

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

	UNEP Evaluation Office Comments		Rating
Evaluation process quality criteria			
Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Yes – consultants fee was provide through UNEP while travel costs (for consultant to attend a meeting in Bonn) was covered by UNDP		5
R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	Yes the TE was initiated within the required period		5
S. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	Yes the project teams supported the evaluation. However financial information was that could be analysed by the consultants was not forthcoming		4
T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Communicated of the implementation Plan to the project team was delayed		2

U. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	Yes the evaluation was peer-reviewed. Assessment of quality completed		4
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	Yes the TORs were shared with the UNEP GEF and UNDP GEF staff. The draft reports were sent to EO by the consultant All comments from stakeholders were directed through EO Responses to comments were prepared by the consultant and entered as an annex to the report.		4
W. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Communication maintained between EO and project teams despite intermittent delays. Findings, lessons and recommendations adequately included and discussed in the report		4
X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes final selection done by EO after consultation with UNEP and UNDP task managers		5
OVERALL PROCESS RATING			33

Rating system for quality of evaluation reports

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

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