

Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)

Mid-term Review – Final Report



Adelé Cormac, Marie-Ange Baudoin, Pierre Bégat, Dr Anthony Mills, Onno Huyser
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Acronyms and Abbreviations

APAN	Asia Pacific Adaptation Forum
CAF	Cancun Adaptation Framework
COP	Convention of Parties
FAO	Food and Agriculture Organisation
GEF	Global Environment Facility
GIZ	Gesellschaft für Internationale Zusammenarbeit
GSP	Global Support Programme
GWP	Global Water Partnership
ID	Identity
IFAD	International Fund for Agricultural Development
LDC/LDCs	Least Developed Country/Least Developed Countries
LDCF	Least Developed Countries Fund
MDG	Millenium Development Goal
MTR	Mid-Term Review
NAP	National Adaptation Plan
NC	National Communication
PB	Project Board
PIR	Project Implementation Review
PMIS	Project Management Information System
ROAP	Regional Office for Asia and the Pacific
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Assignable, Realistic, Time-related
SPREP	Secretariat of the Pacific Regional Environment Programme
TNA	Technology Needs Assessment
UNDP	United Nations Development Programme
UN Environment	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNISDR	United Nations International Strategy for Disaster Reduction
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organisation



Executive Summary

Project Title: Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)

GEF Project ID (PMIS #): 01247	GEF approval date: 03.03.2015
Country(ies): Non LDCs	UN Environment approval date: 23/07/2016
Region: Global	UNDP approval date: 31/03/2015
Focal Area: Climate Change	Date of first disbursement: 25.02.2016
GEF Focal Area Strategic Objective: Climate Change Adaptation	Midterm Review completion date: xxx
Trust Fund: SCCF	Planned duration: 36 months
Executing Agency/ Implementing Partner: UN Environment /ROAP, UNDP	Intended completion date: 30/03/2019
Other execution partners: IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries	
Project Financing	
	<i>Cost to the SCCF (US\$):</i>
	<i>at Midterm Review (US\$):</i>
	4,500,000
	3,618,818
	<i>Total costs (US\$): 46,300,000</i>

Climate change and associated climate variability pose a challenge to achievement of poverty reduction and sustainable development goals in non-LDCs¹. National and sectoral planning processes provide a central means by which development priorities are formulated, budgeted and implemented. However, such planning processes generally have not included considerations of climate change risks and opportunities in a systematic manner. Consequently, there is an increased need to consider medium- to long-term planning for climate change adaptation within the framework of national development priorities. In response to this, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for countries to mainstream climate change into development planning. This process will assist developing countries to identify, finance and implement appropriate measures to address medium- to long-term adaptation needs within relevant sectors. However, a number of barriers constrain developing countries from advancing their NAP processes as detailed below.

To address these barriers, SCCF resources have been used to establish a NAP Global Support Programme (GSP) to promote medium- to long-term planning for climate change adaptation in non-LDCs. Building on a number of relevant national and subnational level initiatives, the NAP-GSP promotes NAP processes that are country-driven, continuous, participatory, progressive and iterative. In addition, these processes are multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and commonly agreed good practices. As such, the NAP-GSP is addressing a gap in the international community's efforts towards climate change adaptation.

¹ In the context of this project, the term 'non-LDCs' is used to refer to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC. These countries are not a specific grouping under the UNFCCC parties; rather, they are eligible for SCCF resources hence eligible to receive support from this project.



Through the NAP-GSP, a two-year project with a US\$ 4 million budget, SCCF resources are used to establish a support mechanism focused on three main pillars, namely: i) institutional support to improve coordination mechanisms for medium- to long-term adaptation planning and budgeting; ii) technical capacity-building; and iii) knowledge brokerage. This support is provided to all non-LDCs upon request and is flexible enough to be tailored to each country's needs and national circumstances. The SCCF-financed NAP-GSP is therefore assisting non-LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, appraise, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The project is being implemented by UN Environment and UNDP and builds on existing partnerships and implementation arrangements put in place under the existing LDCF-funded project 'Assisting Least Developed Countries with country-driven processes to advance National Adaptation Plans'.

Project progress summary

The SCCF-funded project supports adaptation and the NAP process through country-driven and participatory, learning-by-doing and multi-disciplinary approaches. The main achievements of the project so far are described below.

1) Outcome 1

- Stock-taking reports – which provide an overview of national capacity – with draft roadmaps have been completed for nearly all 20 countries receiving one-on-one institutional support under the programme.
- In several countries, stocktaking missions were accompanied by national stakeholder consultations and/or in-country customised training.

2) Outcome 2

- Surveys have been administered to partner countries to inform the design of regional trainings and to respond to the specific needs of countries and regions.
- Regional trainings and workshops have been organised in close consultation with countries to advance their NAPs and to enhance peer-to-peer exchange between countries. The trainings enhanced technical and policy capacities of the non-LDCs from all regions and promoted South-South cooperation. Technical capacity of the national technicians is enhanced especially on advancing NAP process.
- Training packages have been customised to capture the specific needs of each region based on an assessment of needs.

3) Outcome 3

- A NAP-GSP website was developed. Through this website, reports, workshop documents and training materials are made available.

Despite noticeable achievements, several gaps related to project strategy, implementation and sustainability were noted.

1) Outcome 1

- Although the target of 20 countries receiving one-on-one support for the NAP process has been overachieved (Outcome 1), the review team was not able to assess the number of



countries with institutional arrangements for the NAP as this information has not been captured by the project.

2) Outcome 2

- Not all thematic training areas prioritised by non-LDCs through surveys, have been covered yet (e.g. cities, agriculture, blended climate finance to move away from grant requests, insurance).
- The NAP-GSP website needs improvement to be easier to navigate, and tools and guidelines for advancing the NAP process needs to be shared in five languages relevant to non-LDCs².

3) Outcome 3

- South-South cooperation and knowledge exchange are essentially happening during training sessions, workshops and during the various events for which the project provides support to non-LDCs for attendance, including the annual NAP Expo, the COPs and Gobeshona. In other words, it happens when country representatives meet face-to-face rather than connect through online platforms. The reviewers could, however, not assess the level of exchange and knowledge sharing taking place through online knowledge sharing platforms because of a lack of feedback from partner countries and a lack of tracking tool to evaluate whether knowledge exchange and partnerships are fostered through existing online platforms.

Overarching point: Capacity assessment surveys have not been carried out in a way that allows to track progress in a systematic manner. However, stocktaking exercises conducted under the project should allow to evaluate capacity improvement towards the end of the project.

Table 1 below summarises the main achievements of this project.

Table 1. Project main achievements.

Measure	MTR Rating	Achievement Description
Progress strategy	n/a	The project was country-driven, as it was designed in response to calls from non-LDCs and aligned with national adaptation processes; in addition, gender-balanced stakeholder consultations were conducted to refine project activities. The project also incorporates several tools to ensure the sustainability of its interventions (e.g. training of stakeholders in finance ministries; development of online courses and tools).
Progress towards Results	Project objective:	21 non-LDCs have received support to develop institutional arrangements for the NAP.
	Outcome 1:	33 countries received tailored support to advance their NAP process (final target overachieved).
	Outcome 2:	246 technicians from 102 non-LDCs – which include 40% women – have been trained. (midterm target achieved)

² Tools are currently available in four languages: English, French, Spanish and Portuguese.



	Output 2.1:	3 training material packages were developed/are under development. (midterm target achieved)
	Output 2.2:	246 national technicians – which include 39% women – were trained through thematic/regional workshops. (midterm target achieved)
	Output 2.3:	A NAP GSP website has been developed and e-learning materials (e.g. tools and guidelines) are being developed. (midterm target achieved)
	Outcome 3:	1 newsletter is widely disseminated, and several Communities of Practice have been established/strengthened.
	Output 3.1	1 newsletter is widely disseminated, and 1 Community of Practice has been established.
Project Implementation and Adaptive Management		<ul style="list-style-type: none"> - Roles and responsibilities between UN Environment and UNDP are clear; - Cooperation with partner institutions to provide technical trainings is good; - Stakeholders are actively engaged in the project, in particular in workshops and training sessions; - Views on the NAP GSP website and access to the newsletter are tracked.
Sustainability		<ul style="list-style-type: none"> - Trainings were provided to stakeholders in planning and finance ministries to support sustained advances in the NAP processes beyond the project’s lifetime; - The project supported the identification of strengths, weaknesses, opportunities and threats to be addressed in order to advance adaptation planning. Many of these were used by the GCF NDAs to develop and submit NAP support proposals to the GCF. - Progress was made in mainstreaming CCA and the NAP process into various sectors; - Legal framework and policies in non-LDCs are supporting the project.

Overall, the design and implementation of the project are satisfactory. The project was clearly country-driven in its design and flexible enough to provide country- and region-tailored support to non-LDCs, including one-on-one support. The main achievements so far are the one-on-one support to countries (sensitisation of stakeholders, support for stocktaking, identification of priorities of funding in adaptation planning), the delivery of trainings to technicians from non-LDCs, and, to some extent, the development of toolkits and guidelines. In addition, by training stakeholders within relevant ministries, the project is contributing to the integration of the NAP process is integrated into national/sectoral planning and budgeting, and will be sustained beyond the project’s lifetime. In terms of implementation arrangements, the partnerships between UN Environment and UNDP and with other technical institutions have been successful to deliver relevant interventions, e.g. technical and thematic trainings. Importantly, partnerships between organisations have set up the basis for future cooperation on projects to continue supporting the NAP process within non-LDCs.



The evaluators have, however, noted that some categories of stakeholders – e.g. researchers and academics – have not been significantly involved in the project. Their involvement is critical to ensure their long-term engagement in the NAP process as well as their contribution to developing high-quality funding proposals to advance this process. Regular trainings during the course of the project, or a ‘training of the trainers’ approach to ensure trainings are maintained beyond the project’s lifetime, are also required to ensure effective capacity building among non-LDC technicians. In addition, the project should implement capacity assessment following training sessions to: i) identify gaps to address through further trainings; ii) make adjustments to trainings when relevant; and iii) evaluate progress in non-LDCs’ capacity to advance their NAP process.

Finally, the implementation of some of the knowledge management interventions of the projects have been delayed, or their uses are difficult to assess because of a lack of feedback from beneficiary countries. For example, e-learning materials are not yet available online in relevant non-LDC languages. It is also unclear if the Communities of Practice (CoP) and the other knowledge sharing platforms established or strengthened by the project are effectively used to share lessons and best practices on advancing the NAP process among non-LDCs. Results from the MTR – which methodology is presented in section 1.3. – suggest that knowledge exchange essentially happens during workshops, training sessions and other events for which the project facilitate access (e.g. NAP Expos and CoPs). These events could thus be repeated and used to strengthen partnerships and collaboration among countries, given that the value-add of the knowledge sharing platforms is unclear.

Table 2 . Summary of recommendations.

Recommendation	Entity responsible
Outcome 1 - Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	UNDP
Key recommendation: the project overachieved the mid-term and final target (20 countries). Therefore, the end-of-project target could have been more ambitious, e.g. targeting 25 to 30 countries based on remaining funds.	
Outcome 2 - Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.	UN Environment
Key recommendation: Post-training capacity assessment surveys are not available. Therefore, the only available indicator is ‘means- based’ (number of countries/stakeholders that benefited from training) as opposed to ‘result-based’. Further impact tracking on at least half of the 102 non-LDCs that have been trained is recommended using post-training surveys in order to assess the long-term impacts of training sessions; identify remaining gaps and make adjustments where necessary.	
Outcome 3 -	



Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.	UNDP & UN Environment
Key recommendation: Continue to strengthen the NAP GSP website and access to online services, including after the end of the project. A strong knowledge management strategy that ensure collaboration and knowledge exchange among non-LDCs should be implemented in association with other projects – e.g. the LDC Negotiators project – and informed by best practices in UNDP/ UN Environment.	
Project Implementation and Adaptive Management	UNDP & UN Environment
Key recommendation: <ul style="list-style-type: none"> Partnerships with all relevant institutions – including climate scientists and actors from the private sector – should be promoted to cover all aspects relevant to the NAP process. 	
Sustainability	UNDP & UN Environment
Key recommendations: <ul style="list-style-type: none"> It would be useful to make anonymised surveys available to third parties in user-friendly format to serve as baseline for future capacity building initiatives and NAP Readiness projects. All thematic areas that were identified have not been covered by training (e.g. cities, agriculture, blended climate finance, insurance). If resources are still available, it is recommended to convene partners and identify what gaps still remain to be addressed. 	

1. Introduction

The United Nations Environment Programme (UN Environment) has commissioned an independent, mid-term review of the Global Environment Facility (GEF)-funded project “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs).” The GEF-funded project aims to promote medium- to long-term planning for climate change adaptation in non-LDCs. GEF resources have been allocated to establish a support mechanism focused on three main pillars, namely: i) institutional support; ii) technical capacity-building; and iii) knowledge brokerage. This support is provided to all non-LDCs upon request and will be flexible enough to be tailored to each country’s needs and national circumstances. The project therefore supports non-LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The project is being implemented by UN Environment and UNDP and builds on existing partnerships and implementation arrangements put in place under the existing LDCF-funded project ‘Assisting Least Developed Countries with country-driven processes to advance National Adaptation Plans’.

1.1 Purpose of the MTR and objectives

The purpose of this MTR is to “assess project performance to date (regarding relevance, effectiveness and efficiency), and determine the likelihood of the project achieving its intended outcomes and impacts, including their sustainability.” The objectives of the MTR are to: i) review progress to date against project objective and targets; ii) identify risks to sustainability; and iii) provide recommendations on actions to be taken.



1.2 Key outputs of the MTR

The intended outcome of the review is to analyse project performance to date and develop recommendations aimed at improving performance for the remainder of the project. In addition, the review identifies lessons of operational relevance for future project formulation and implementation for the remaining of the project. The MTR also contains an executive summary that can act as a standalone document and an annotated ratings table.

1.3 Methodology of the MTR

In line with the UN Environment Evaluation Policy³ and UN Environment Programme Manual⁴, the MTR should be undertaken approximately halfway through project implementation. However, this MTR was delayed and is taking place at approximately two thirds through the project implementation period. The purpose of this review is to analyse whether the project is on track to meet its targets, what problems or challenges the project is encountering, and what corrective actions are required. The MTR assesses project performance to date and determines the likelihood of the project achieving its intended outcomes and impacts, including their sustainability. The two primary objectives are: i) to provide evidence of project results to meet accountability requirements; and ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and UNDP. Therefore, the review aims to identify lessons of operational relevance for future project formulation and implementation especially for the second phase of the project, *if applicable*. The MTR achieves its aim and objectives by:

- undertaking a critical analysis of the project's logframe indicators and targets, assessing how "SMART" (Specific, Measurable, Attainable, Relevant, Time-bound) the midterm and end-of-project targets are, and suggesting specific amendments/revisions to the targets and indicators as necessary;
- evaluating the clarity, practicality and feasibility of a project's objectives and outcomes or components given its timeframe;
- examining the extent to which the project is on track to reach its objective and outcome targets; and
- recommending corrective actions to keep project implementation on track and for effective use of remaining resources.

This MTR is based on:

- a comprehensive desktop review of documents (see Annex 5 for a list); and
- interviews with relevant stakeholders (see Annex 4 for a list).

It should be noted that, because of time constraints, the evaluators could not conduct as many interviews with representatives from beneficiary countries as initially expected. In order to prevent further delays in conducting and thus implementing the MTR, the decision was made to focus the evaluation on a review of document as well as interviews with the project team and project partners. Delays in implementing this MTR will also impair the capacity of the project management team to implement the evaluators' recommendations.

1.4 Structure of the MTR

³

<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁴ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . This manual is under revision.



The MTR consists of the following:

- an **executive summary** providing a brief overview of the main conclusions and recommendations of the review;
- an **introduction** providing the purpose and objectives, expected outputs and methodology of the review;
- a brief **overview of the evaluated project**, its development context, the problems that the project sought to address, the project objective and status of activities, project implementation arrangements and key project partners and stakeholders;
- **review findings** on project strategy, progress towards results, project implementation, adaptive management and project sustainability;
- **review conclusions** outlining corrective actions for the design, implementation and monitoring and evaluation of the project, follow-up actions to reinforce project benefits and proposals for future directions; and
- **annexes** including Terms of Reference, list of interviewees, documents reviewed, brief summary of the expertise of the review team and co-finance information.

2. Project description and background context

2.1 Project background

Climate change (including climate variability) is having negative effects on human well-being across the developing world. Increasing temperatures, changing precipitation patterns, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health⁵. Moreover, these climate change effects are predicted to become increasingly severe. Without improved planning and preparedness, countries' capacity to manage the impacts of climate change will be overwhelmed – compromising years of progress towards the Millennium Development Goals (MDGs)⁶ and Sustainable Development Goals (SDGs)⁷ and other socio-economic development priorities. At present, national and sectoral planning processes in non-Least Developed Countries (non-LDCs)⁸ have not fully integrated climate change risks and opportunities in an iterative and comprehensive manner. National and sectoral planning processes provide a central means by which national development priorities are formulated, budgeted and implemented.

⁵ IPCC. 2014. Summary for policymakers. In: Field, C.B., V.R. Barros, D.J. Dokken, K.J. Mach, M.D. Mastrandrea, T.E. Bilir, M. Chatterjee, K.L. Ebi, Y.O. Estrada, R.C. Genova, B. Girma, E.S. Kissel, A.N. Levy, S. MacCracken, P.R. Mastrandrea, and L.L. White (eds.). 2014. Climate Change 2014: Impacts, Adaptation, and Vulnerability. Part A: Global and Sectoral Aspects. Contribution of Working Group II to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1-32.

⁶ United Nations. 2015. The Millennium Development Goals Report. Available online: http://www.un.org/millenniumgoals/2015_MDG_Report/pdf/MDG%202015%20rev%20%28July%201%29.pdf

⁷ United Nations. 2017. The Sustainable Development Goals Report. Available online: <https://unstats.un.org/sdgs/files/report/2017/TheSustainableDevelopmentGoalsReport2017.pdf>

⁸ Non-LDCs refers to developing countries which are not least developed countries (LDCs) under the list of Non- Annex 1 parties to the UNFCCC.



Non-LDCs have previously received support to prepare their National Communications (NCs)⁹ and Technology Needs Assessments (TNAs)¹⁰ through the UN Environment /UNDP National Communications Support Programme and the Global TNA project, respectively. Through these processes, non-LDCs have identified adaptation priorities as well as developed rudimentary adaptation plans and programmes. However, the predicted effects of climate change on development goals necessitate increased consideration of medium- to long-term planning for climate change adaptation within the framework of national development priorities. In response to this, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for LDCs¹¹ and non-LDCs¹² to mainstream climate change into development planning.

At the 18th Conference of the Parties (COP-18) in Doha, Parties requested the Global Environmental Facility (GEF) to consider how to support non-LDCs through the Special Climate Change Fund (SCCF) to advance their NAP processes¹³. In Warsaw, the COP-19 requested the GEF to further specify its progress in responding to the above request¹⁴. As a result, at its 14th meeting in June 2013 the LDCF/SCCF Council endorsed the document GEF/LDCF.SCCF.14/06, *Operationalizing Support to the Preparation of the National Adaptation Plan Process in Response to Guidance from the United Nations Framework Convention on Climate Change (UNFCCC) COP*¹⁵. The project under review is a response to these calls from the COP to the GEF to support non-LDCs in the preparation for the NAP process.

Project timeline from Project document and Project Interim Reports (PIRs):

- project approved for Implementation by GEF: 25 March 2015
- duration 36 months
- commencement: 01 January 2015
- intended completion date: 31 December 2017
- expected completion date: 30 March 2019

The MTR covers the period January 2015 to February 2018 and measures the extent to which the programme succeeded in meeting the mid-term targets set out in the project document, as well as estimates whether the project is on track to meet the end-of-project targets.

2.2 Problems that the project sought to address

The problem that the project is addressing is that many non-LDCs currently do not have the requisite coordination mechanisms, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process to consider climate change in national development planning. Consequently, the existing medium- to long-term planning processes in non-LDCs generally do not: i) fully consider the multiple risks and stresses of climate change affecting human, social, physical, natural and financial capital; or ii) apply adaptive

⁹ National Communications from developing countries provide information on greenhouse gas (GHG) inventories, measures to mitigate and to facilitate adequate adaptation to climate change, and any other information that the countries consider relevant to the achievement of the objective of the Convention to the Conference of the Parties (COP).

¹⁰ To determine their climate technology priorities, countries undertake Technology Needs Assessments (TNAs). A TNA supports national sustainable development, builds national capacity and facilitates the implementation of prioritized climate technologies.

¹¹ Decision 1/CP.16 paragraph 15

¹² Decision 1/CP.16 paragraph 16

¹³ Decision 9/CP.18, paragraph 1

¹⁴ 9/CP.18, paragraph 1 11 Decision 6/CP.19

¹⁵ Available online: http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF-LDCF.SCCF_14-



management strategies to livelihood options and development plans given the complexity and uncertainty of climate change effects. In addition, adaptation planning in non-LDCs remains uncoordinated and cross-sectoral climate change impacts are not being adequately budgeted for as allocations are being done largely in isolation within line ministries. Furthermore, access to international donor funding by non-LDCs has been limited through both the: i) amount of funding available in comparison to the number of non-LDCs; and ii) capacity of non-LDCs to develop 'bankable' projects to access these funds. This limited capacity to develop 'bankable' projects has contributed to the limited number of public-private partnerships to finance medium- to long-term adaptation in non-LDCs. Given the current and emerging detrimental effects of climate change, addressing these knowledge and capacity gaps is urgent.

The project aims to contribute to overcoming these knowledge and capacity gaps by:

- improving coordination mechanisms for medium- to long-term adaptation planning and budgeting through broad technical support as well as dedicated national support to non-LDCs;
- providing technical support through training on relevant tools, methods and guidelines for medium- to long-term adaptation planning and budgeting; and
- enhancing networks and partnerships for knowledge dissemination on the NAP process and lesson learned among non-LDCs.

2.3 Main projects stakeholders

UNDP and UN Environment are the GEF Implementing Agencies (IAs) for the project. Outcome 1 and Outcome 3/Output 3.2 are implemented following UNDP's Direct Implementation Modality (DIM) by UNDP regional offices¹⁶, while Outcome 2 and Outcome 3/Output 3.1 are executed by UN Environment's Regional Offices. Oversight is provided by UN Environment Ecosystems Division of Environmental Policy Implementation (DEPI). In addition to UNDP and UN Environment, other organisations are involved in the project as responsible parties and collaborative partners (FAO, GIZ, GWP, UNISDR, UNITAR, WHO, WMO, UN Habitat, SPREP- Secretariat of the Pacific Regional Environment Programme)¹⁷. National partners have included planning ministries and key line ministries from targeted countries.

Day-to-day management is undertaken by a Technical Specialist based in UN Environment Regional Office for Asia and the Pacific (ROAP). Execution of the project on UN Environment's side by UN Environment ROAP ensures teamwork with the global UNDP adaptation team who are implementing and executing the project in Bangkok. On UNDP's side, a part-time Lead Technical Specialist – member of the UNDP global adaptation team and overseeing the overall UNDP NAP portfolio – is in charge of UNDP-implemented components. A Project Board (PB) consisting of representatives from the UNDP (co-chair), UN Environment (co-chair) and the GEF-SCCF secretariat provides overall guidance and direction to the project. The PB meets once per year¹⁸. A Technical Advisory Group provides technical guidance to project activities, including review of the annual work plan with recommendations, for endorsement by the PB. The Technical Advisory Group meets annually and is made up of representatives from the Adaptation Committee, the UNFCCC Secretariat and development

¹⁶ More information on the UNDP DIM modality can be found at <https://info.undp.org/global/popp/frm/pages/direct-implementation-dim-modality.aspx>

¹⁷ International Fund for Agricultural Development, Food and Agriculture Organization, Deutsche Gesellschaft für Internationale Zusammenarbeit (German Corporation for International Cooperation), Global Water Partnership, United Nations International Strategy for Disaster Reduction, United Nations Institute for Training and Research and World Health Organization.

¹⁸ The PB and TAG usually meet back to back with strategic meetings for the NAP GSP for LDCs project to maximise synergies and ensure an efficient use of resources.



partners engaged in activities to support the NAP process in countries. A Technical Support Unit consisting a Lead Technical Specialist and Technical specialist provides full-time technical support to the project. They are also supported by a part-time UNDP Portfolio Analyst and a part-time UNDP Technical Specialist who work across the UNDP NAP support portfolio. Additional technical expertise, communication and logistical support is contracted on a consultancy basis.

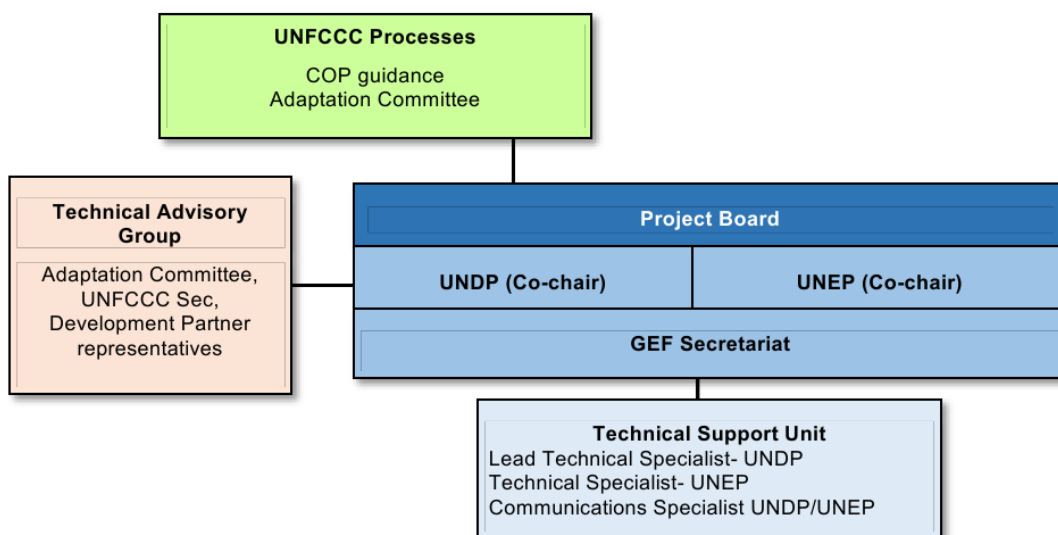


Figure 1. The project is global in scope and is designed to benefit non-LDCs.

Table 2. Non-LDCs by region.

Africa	Europe	Asia	Latin America and the Caribbean	The Pacific
North Africa	South-eastern Europe	East Asia	Caribbean	Pacific Ocean
Algeria	Albania	Brunei Darussalam	Barbados	Fiji
Egypt	Bosnia and Herzegovina	China	Cuba	Marshall Islands
Libya		Indonesia	Dominica	Micronesia
Morocco	Bulgaria	Malaysia	Dominican Republic	Palau
Tunisia	Croatia	Mongolia		Tonga
Central Africa	The FYR of Macedonia	Papua New Guinea	Guyana	Samoa
Cameroon	Montenegro	Philippines	Jamaica	Cook Island
Congo	Romania	Republic of Korea	Trinidad and Tobago	Niue
Gabon	Serbia	Singapore		Nauru
South Sudan		Thailand	Grenada	Papua New Guinea
East Africa	Eastern Europe	Viet Nam	Saint Lucia	
Kenya	Belarus	South Asia	Saint Vincent and the Grenadines	
Seychelles	Georgia	India		
Southern Africa	Republic of Moldova	Islamic Republic of Iran	Mexico and Central America	
Botswana	Russian Federation	Pakistan	Costa Rica	
Mauritius	Ukraine	Sri Lanka	El Salvador	
Namibia		Maldives	Guatemala	
South Africa		Western Asia	Honduras	
			Mexico	



eSwatini	Bahrain	Nicaragua
Zimbabwe	Iraq	Panama
West Africa	Jordan	Belize
Cabo Verde	Kuwait	South America
Côte d'Ivoire	Lebanon	
Ghana	Oman	
Nigeria	Qatar	Argentina
	Saudi Arabia	Plurinational State of Bolivia
	Syrian Arab Republic	
	Turkey	Brazil
	Armenia	Chile
	Azerbaijan	Colombia
	Central Asia	Ecuador
	Kazakhstan	Paraguay
	Kyrgyzstan	Peru
	Tajikistan	Uruguay
	Turkmenistan	Bolivarian Republic of Venezuela
	Uzbekistan	
		Suriname

2.4 Expected results of the project

The overall goal of the project is to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs. To achieve this, the project will provide institutional and capacity development and technical support to non-LDCs to support key steps in the NAP process. The project will also promote South-South and North-South cooperation to enhance networks and partnerships for knowledge dissemination. Table 3 below details project components, outcomes and outputs.

Table 4. Project components, outcomes and outputs.

Outcomes	Outputs
Component 1: Institutional support to develop national-level roadmaps (overseen by UNDP).	
1. Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	1.1: Information and processes that are of relevance to the NAP process in the country are taken stock of and key gaps to integrate climate change into medium to long-term planning processes are identified.
	1.2: Institutional coordination and financial arrangements are strengthened/established to support NAP process.
	1.3: NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.
Component 2: Training on relevant tools and methods to support effective climate planning (overseen by UN Environment).	
2. Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries.	2.1: Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.
	2.2: National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.



	2.3: Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.
Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (overseen jointly by UN Environment and UNDP).	
3. Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.	3.1: Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to-long-term development planning (Overseen by UN Environment).
	3.2: South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).

3. Findings

3.1 Project design

The project was designed to enhance the capacity of non-LDCs to adapt to the effects of climate change in the medium- to long-term through the development of comprehensive NAPs. To design and refine project’s interventions, a capacity assessment was conducted through stakeholder consultations during the Project Preparation Grant (PPG) phase. This assessment indicated varied levels of advancement among non-LDCs regarding the integration of climate change adaptation (CCA) into planning and policies. It also underlined the following barriers to address for advancing the NAP process in non-LDCs: i) a narrow approach to the NAP process which is often confined to environment ministries; ii) limited institutional coordination among sectoral ministries to develop and implement CCA interventions; iii) limited capacity to secure finance to implement existing CCA plans; and iv) a lack of technical skills to build good-quality proposals that would secure financial resources to implement adaptation-related interventions.

Table 4 below provides an analysis of the design of the project as outlined in the Project Document, in order to identify whether the project strategy is effective to achieve the desired goals and objective. The following elements of the project design were reviewed: i) incorporation of lessons learned; ii) extent to which the project is country-driven; iii) risk management strategy; iv) alignment with country priorities; v) sustainability of the project, in particular its financial viability; and vi) integration of gender considerations. Recommendations are then formulated where changes are required in order to get the project back on track for reaching the desired results.



Table 4. Project design assessment.

Category	Strengths	Weaknesses	Recommendations
Integration of lessons learned	Several lessons learned from the LDC-focused project ‘Assisting least developed countries with country-driven processes to advance National Adaptation Plans’ ¹⁹ have been integrated in the project design. These include the needs for: i) training on planning/budgeting for CCA; ii) promoting institutional coordination/cross-sectoral approach to CCA; iii) increasing technical skills to develop/implement CCA; iv) providing region- and country-tailored technical support; and v) avoiding duplication by adapting existing tools and guidelines for CCA to non-LDCs or complementing existing tools.	One lesson learned from the LDC-focused project that has not been fully integrated in the project design is to implement regular training, as opposed to once-off training, in order to build capacity in a sustainable way.	Additional trainings may be required to ensure capacities are built and sustained beyond project’s lifetime. These trainings can be planned if the remaining budget allows it; or a ‘train the trainers’ can be implemented to ensure training continues beyond the project’s lifetime.
Country-driven process	The project was designed in response to calls for support in the preparation for the NAP process from non-LDCs (requests formulated during COP-18 and COP-19). The project design is largely country-driven: i) it follows from non-LDCs’ request to enhance technical knowledge of NAP process; ii) country-tailored tools are to be developed and available in different non-LDCs languages; iii) knowledge-sharing among non-LDCs is to be enhanced through online platforms/trainings; and iv) technical trainings are to be tailored for specific regions/thematic areas.	Country partners have requested more thematic trainings/tailored tools and guidelines to advance the NAP process. However, not all thematic areas identified as relevant for trainings by non-LDCs can be covered by the project.	Additional trainings, based on remaining fund, should focus on thematic areas that have been prioritised by non-LDCs but could not be covered yet.
Risk management	The following risks have been mitigated through relevant project interventions: <ul style="list-style-type: none"> Risks of limited finance for advancing the NAP process beyond project duration is mitigated by: 	The project design does not specifically cater for engagement with the academic sector and climate researchers. These sector	Engagement with the academic sector/researchers is highly recommended as a way to develop high-quality funding proposals on CCA and ensure the long-term engagement of that sector to advance the

¹⁹ Lessons learned from LDC-focused project: *Assisting least developed countries with country-driven processes to advance National Adaptation Plans.*



	<p>i) providing training on integrating CCA into budgeting/planning; ii) providing support to developing high-quality funding proposals on CCA; and iii) coordinating with other NAP-related initiatives/other development partners to provide complementary support.</p> <ul style="list-style-type: none"> • Risks of limited cross-sectoral coordination to support the NAP process is alleviated by involving relevant line ministries (e.g. finance, plan) in training sessions. • Risks of duplicating interventions related to the NAP process is mitigated by promoting collaboration with other development partners involved in CCA. 	<p>and stakeholders could provide support to develop high-quality funding proposals to advance the NAP process in non-LDCs. In addition, the development of bankable funding proposals would require training provided by financial/ project development experts, which have not been organised yet.</p>	<p>NAP process. Likewise, engagement with the private sector (e.g. insurance) – which is planned for 2018 – is critical, for example in the field of adaptation insurance. Finally, project development experts could be involved in training sessions to ensure funding proposals are bankable.</p>
Alignment with country priorities/country ownership	<p>The project is relevant to National Communications (NCs) on CC/adaptation priorities and Technology Needs Assessments (TNAs). It also responds to direct needs expressed by non-LDCs.</p>	n/a	n/a
Sustainability	<p>The project includes the development of knowledge platforms and tools that will be available online – through the NAP-GSP website – to enable access after the project's termination. A strategy is also being put in place to maintain the website at project's end. In addition, a knowledge-sharing platforms – including Community of Practice (CoP) – have been developed or strengthened to facilitate country exchange.</p> <p>Finally, the project coordinates with development partners on NAP-related support activities</p>	<p>Once-off instead of regular training sessions are implemented, either at regional level or in countries; and follow-up in the months following trainings are not implemented. Regular trainings and follow-up surveys are relevant to assess impacts, make relevant adjustments and ensured sustainability of training activities.</p> <p>The limited involvement of researchers/academic sector impedes the long-term involvement of the academic sector in NAP processes.</p>	<p>The impacts of training sessions – regional and country-level – should be assessed, comparing the baseline situation (before training), 'after training' situation, and the situation a few months after trainings took place. This is critical to evaluate the value-add of trainings in terms of effectively building capacities to advance the NAP process.</p> <p>Engagement with the academic sector/researchers is highly recommended to ensure their engagement in the NAP process. In addition, ways to ensure that these online assets are used effectively and sustained on an ongoing basis should be considered.</p>
Gender issues	<p>Balanced stakeholder consultations were conducted during the PPG phase, and gender-</p>	n/a	n/a



	disaggregated targets and indicators were developed and included in the Result Framework. A gender specialist was employed to ensure gender issues are fully integrated into training modules.		
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critical analysis of the project logframe and targets (Table 5) was also conducted in light of the ‘SMART’ indicators, as described below:

- *Specific*: Indicators use clear language, describing a specific future condition.
- *Measurable*: Indicators have measurable aspects making possible to assess whether they were achieved or not.
- *Achievable*: Indicators must be within the capacity of the partners to achieve.
- *Results-based*: Indicators must make a contribution to selected priorities of the national development framework.
- *Time-bound*: Indicators are never open-ended; there should be an expected date of accomplishment.

Table 5. SMART assessment of project logical framework.

Components/ Outcomes/ Outputs	Indicator	Mid-term target	Target for end of project	SMART assessment and comments
Project objective	Number of countries with institutional arrangements for the NAP	10 ²⁰ countries have been supported to develop institutional arrangements for the NAP	At least 20 countries have been supported to develop institutional arrangements for the NAP	<ul style="list-style-type: none"> • Targets are clear, measurable (at least 20 countries) and seem achievable within the scope and duration of the project. • Mismatch noted between indicator (number of countries with institutional arrangements for NAP) and targets (countries receiving support to develop institutional arrangements for NAP). However, at this stage of project implementation, it is not recommended to modify this project indicator.
Outcome 1	Number of non-LDCs receiving tailored support to advance their NAP	At least 8 countries have received support towards advance their NAP process)	20 countries receive tailored support to advance their NAP process	<ul style="list-style-type: none"> • Targets are clear, measurable (at least 20 countries) and seem achievable within the scope and duration of project. • Indicator matches targets.

²⁰ This target of 10 countries has been set up in the UN Environment PIR 2017. No mid-term target was included in the Project Document.



Outcome 2	Number of non-LDCs with increased technical capacity to support key steps in NAP process	Technicians from at least 40 non-LDCs have increased technical capacity to support key steps in NAP process.	By the end of the project, government technicians from at least 105 non-LDCs have increased technical capacity to support key steps in NAP process.	<ul style="list-style-type: none"> • Targets are clear, measurable (at least 105 countries) and seem achievable within the scope and duration of project. • Indicator matches targets.
Output 2.1.	Number of training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process	n/a	By the end of the project, one training package - containing tools, methods or guidelines - developed for non-LDCs to advance their NAP process	<ul style="list-style-type: none"> • Targets are clear, measurable (at least 1 training package) and seem achievable within the scope and duration of project. • Indicator matches targets.
Output 2.2.	Number of national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (disaggregated by gender)	At least 100 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women).	By the end of the project, at least 300 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	<ul style="list-style-type: none"> • Targets are clear, measurable (at least 300 technicians) and seem achievable within the scope and duration of project. • Gender consideration integrated into targets. • Indicator matches targets.
Output 2.3.	Number of web-based training materials for the application of tools, methods and guidelines for NAP processes developed and accessible online	n/a	By the end of the project, at least 5 training materials developed and published online in at least 5 official languages of the non-LDCs	<ul style="list-style-type: none"> • Targets are clear, measurable (at least 5 online training materials) and seem achievable within the scope and duration of project. • Indicator matches targets.
Outcome 3	Effective uptake of lessons and best	At least 40% of participants in the	By the end of the project at least 70% participants in the knowledge-sharing	<ul style="list-style-type: none"> • Targets are clear, however indicator (effective uptake of lessons learned and best practices) is



	practices shared across North-South and South-South countries	knowledge-sharing platforms report interest and/or uptake of lessons and best practices from North and South countries	systems report interest and/or uptake of lessons and best practices from North and South countries	difficult to measure/quantify. Number of individuals with multiple interactions would be a better means of verification for this target.
Output 3.1	Number of knowledge and information systems established on NAP for non-LDCs through existing or developed platforms	At least 1 knowledge and information system (e.g. LISTSERVE, quarterly newspaper, forums to promote thematic discussions) established through at least 1 existing platforms	By the end of the project, at least 3 knowledge and information systems (e.g. LISTSERVE, quarterly newspaper, forums to promote thematic discussions) established through at least 6 existing platforms	<ul style="list-style-type: none"> • Targets are clear, measurable (3 knowledge systems) and seem achievable within the scope and duration of project. • Indicator matches targets.



Gender considerations in project design

Gender-balanced stakeholder consultations have been undertaken to develop the project proposal and to refine project activities. In addition, one gender-sensitive indicator is included in the Project Result Framework. Finally, specific training modules on CCA have been developed to incorporate gender considerations (*information confirmed by interviews*). To ensure that gender issues are fully integrated into training packages, it is recommended to modify the indicator for Output 2.1 into: “Number of *gender-sensitive* training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process”.

Recommendations on Project design

It is recommended to modify the following project indicators:

- Outcome 3: Number of individuals with multiple interactions.
- Output 2.1.: Number of gender-sensitive training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process.



3.2 Progress towards results

In this section, the project’s progress towards results is evaluated based on the data provided in the Project Document, PIRs, Result Framework, GEF Tracking Tools (TT) and interviews conducted with relevant project partners (implementing/executing partners as well as non-LDCs).

Table 6. Evaluation of project progress.

Components/ Outcomes/ Outputs	Indicator	Baseline level	Mid-term target	Target for end of project	% of achievement as of May 2018 and rating ²¹	Comments/justification for rating
Project objective: strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.	Number of countries with institutional arrangements for the NAP	Capacities to advance NAP among non-LDCs are varied; gaps in technical capacity, access to knowledge, and institutional arrangements are identified.	10 countries have been supported to develop institutional arrangements for the NAP	At least 20 countries have been supported to develop institutional arrangements for the NAP	S	<ul style="list-style-type: none"> Target and unit of measurement correspond to GEF TT (20 countries with relevant institutional arrangement with score level of 2 based on AMAT). However, the score level cannot be evaluated at this stage (no scorecard available). A mid-term target was added in the UN Environment PIR 2017: 10 countries have been supported. <p><i>Justification for rating:</i> 21 countries have received support to develop institutional arrangements for the NAP. Yet, only one capacity assessment has been carried out so far; and surveys to set the baseline were still sent out in 2017 (as per UN Environment HYR 2017). Therefore, progress against the baseline cannot be assessed independently at this stage. Progress achieved is reported from the 2017 UNDP PIR. Capacity assessment surveys were still sent out well into the project implementation phase, which makes it difficult to establish a real baseline for the project.</p>

²¹ Project achievement is measured at the time the MTR was conducted (May 2018); this is 26 months after project start date (project planned duration of 36 months), which is more than two third of project implementation. HS: Highly Satisfactory; S: Satisfactory; MS: Moderately Satisfactory; MU: Moderately Unsatisfactory; U: Unsatisfactory; HU: Highly Unsatisfactory. The rating scale is explained in Annex 3.



<p>Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</p>	<p>Number of non-LDCs receiving tailored support to advance their NAP</p>	<p>Non-LDCs are at various stages in the NAP Process and require different support to further advance.</p>	<p>At least 8 countries have received support towards advance their NAP process).</p>	<p>20 countries receive tailored support to advance their NAP process.</p>	<p>165% Rating: HS</p>	<ul style="list-style-type: none"> • <i>Justification for rating:</i> 33 countries received tailored support to advance their NAP process so far. Therefore, the project overachieved the mid-term and final target (20 countries). The end-of-project target could have been more ambitious.
<p>Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.</p>	<p>Number of non-LDCs with increased technical capacity to support key steps in NAP process.</p>	<p>Capacity of relevant government technicians in non-LDC to apply tools, methods and guidelines to undertake key steps in the NAP process is low.</p>	<p>Technicians from at least 40 non-LDCs have increased technical capacity to support key steps in NAP process.</p>	<p>By the end of the project, government technicians from at least 105 non-LDCs have increased technical capacity to support key steps in NAP process.</p>	<p>96% Rating: S</p>	<ul style="list-style-type: none"> • <i>Justification for rating:</i> <ul style="list-style-type: none"> ○ Not all data is available to assess target's achievement, however achievement of end of project target is likely. As of May 2018, 246 national technicians from at 102 non-LDCs have been trained, of which 40% are women. With two regional workshops remaining before project's end, it is likely that the end-of-project target will be exceeded. ○ The evaluators note that women were underrepresented at the workshop organised at Seoul, South Korea in September 2017 (only 32% of female attendance). ○ Post-training surveys are not available to assess increased technical capacity. Therefore, the only available indicator to measure the target is 'means-based' (number of countries/ stakeholders that benefited from training) as opposed to 'result-based'. Further impact tracking on the 102 non-LDCs that have been trained would be recommended.
<p>Output 2.1 Tools, methods and guidelines to advance the NAP</p>	<p>Number of training packages – including</p>	<p>Existing tools, methods and guidelines are not broadly applied by</p>	<p>n/a</p>	<p>By the end of the project, one training package - containing tools,</p>	<p>90% Rating: S</p>	<ul style="list-style-type: none"> • <i>Justification for rating:</i> 3 training material packages were developed/are under development (target of one training package over



process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	tools, methods and guidelines – developed for non-LDCs to advance their NAP process.	non-LDCs because: i) they are developed for LDCs and are not fully applicable to non-LDCs; or ii) the proliferation of the tools, methods and guidelines are confusing for non-LDCs.		methods or guidelines - developed for non-LDCs to advance their NAP process.		achieved). The project is thus on track to overachieve the end-of-project target with 3 training material packages developed/under development.
Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	Number of national technicians trained through thematic/sub regional workshops in the use of tools and methods to advance the NAP process (disaggregated by gender)	No national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process by the project	At least 100 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women).	By the end of the project, at least 300 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	94% Rating: HS	<ul style="list-style-type: none"> Target and unit of measurement correspond to GEF TT (300 people trained incl. 30% female). <i>Justification for rating:</i> 246 national technicians, of which 40% women, were trained through thematic/sub-regional workshops. With only two regional workshops remaining, it is likely that the end-of-project target will be exceeded.
Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	Number of web-based training materials for the application of tools, methods and guidelines for NAP processes developed and accessible online.	Limited training material available online on the application of tools, methods and guidelines for NAP processes in non-LDCs, available in languages other than English and French.	n/a	By the end of the project, at least 5 training materials developed and published online in at least 5 official languages of the non-LDCs.	Rating: S	<ul style="list-style-type: none"> <i>Justification for rating:</i> A NAP GSP website has been designed and is being upgraded. All the training material is not available online yet and has not been translated into 5 official languages of non-LDCs.



<p>Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</p>	<p>Effective uptake of lessons and best practices shared across North-South and South-South countries</p>	<p>South-South and North-South cooperation is limited, resulting in low levels of sharing of lessons learned and knowledge between non-LDCs.</p>	<p>At least 40% of participants in the knowledge-sharing platforms report interest and/or uptake of lessons and best practices from North and South countries.</p>	<p>By the end of the project at least 70% participants in the knowledge-sharing systems report interest and/or uptake of lessons and best practices from North and South countries</p>	<p>Rating: MS</p>	<ul style="list-style-type: none"> • <i>Justification for rating:</i> The only information available to rate this outcome is the number of subscribers to the newsletters: 2,652 subscribers of which 2,066 are currently active; with an average open rate for the 6 past newsletters of 73%. The indicated means of verification is thus not available. Therefore, the only available indicator is 'means-based' (number of recipients for newsletters) as opposed to 'result-based'. It is also unclear whether the existing Communities of Practice and other knowledge platforms are used by countries to share lessons and best practices on advancing NAP process at the moment (no feedback received from beneficiary countries). Support for participants to attend NAP Expo and other events also contributes to south-south cooperation and knowledge exchange, although impact tracking of this support can hardly be implemented.
<p>Output 3.1 Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (Overseen by UN Environment).</p>	<p>Number of knowledge and information systems established on NAP for non-LDCs through existing or developed platforms.</p>	<p>Current regional platforms on adaptation exist but there is limited knowledge and information systems on NAP processes available on these platforms.</p>	<p>At least 1 knowledge and information system (e.g. LISTSERVE, quarterly newspaper, forums to promote thematic discussions) established through at least 1 existing platforms.</p>	<p>By the end of the project, at least 3 knowledge and information systems (e.g. LISTSERVE, quarterly newspaper, forums to promote thematic discussions) established through at least 6 existing platforms</p>	<p>66% Rating: S</p>	<ul style="list-style-type: none"> • <i>Justification for rating:</i> Several knowledge and information systems were established or strengthened including: i) 2 Communities of Practice, REGATTA and APAN; and ii) 1 distribution list created (used to disseminate e-news). The project also contributes to existing NAP platforms such as UNFCCC NAP and UNDP Adaptation website, and participated to the APAN forum (Sri Lanka, 2016)²². The NAP-GSP website can serve as an exchange platform for beneficiary countries – however the website is not user-friendly yet (under improvement). Moreover, it is unclear how partner countries are using online platforms for sharing lessons among themselves.

²² The project will also contribute to the upcoming APAN forum in Manila.



Green = Achieved	Yellow = On target to be achieved	Red = Not on target to be achieved
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3.3 Project implementation and adaptive management

This section reviews the project implementation in order to identify challenges and suggest adjustments or additional measures to support implementation more effectively.

Table 7. Review of project implementation and adaptive management.

Category	Comments/Observations	Recommendations
Management arrangements	<ul style="list-style-type: none"> - Roles and responsibilities between UN Environment and UNDP teams are clear (as per PIRs, HYRs and partners' interviews); - Cooperation among UN Organisations and partner organisations is good. It contributed to build inter-personal relationships that form the basis for future initiatives e.g. aiming at addressing remaining priorities to advance the NAP process. - Project activities cater for relevant adjustments. For example, a 'gender mainstreaming module' was developed based on the advice of a gender expert. - Institutional partnerships allowed for the development of strong inter-personal relationships across institutions, which can constitute a strong basis for future collaborative projects. <p>However:</p> <ul style="list-style-type: none"> - Capacity assessment surveys are not available openly to serve as baseline for future capacity building initiatives; however, stocktaking reports are available and provide a limited overview of capacity level at the national scale. 	<ul style="list-style-type: none"> - Although the project has partnered with scientific and research-oriented institutions (such as WMO and Gobeshona), partnerships with all relevant institutions – including climate scientists – should be promoted and scientists involved in training sessions to cover all aspects relevant to the NAP process. - It would be useful to make anonymised surveys available to third parties in a user-friendly format to serve as baseline for future capacity building initiatives and NAP Readiness projects. Future projects should not underestimate the time and resources it takes to conduct these surveys and track non-respondents.
Work planning	<ul style="list-style-type: none"> - Delayed project start-up due to administrative process within UN Environment. - Late implementation of capacity assessments (as of today, 80 respondents sent back the survey and the assessment has been completed) restraining the capacity to attribute specific progress to project's activities. 	<ul style="list-style-type: none"> - Implementation will not be further delayed at this stage. - Ensuring that all relevant baseline data is available at project onset to assess project targets at mid-term and at project end is critical to evaluate progress towards results.
Finance and co-finance	<ul style="list-style-type: none"> - Given the limited funds to achieve ambitious outcomes, some partner agencies have tried to facilitate arrangements (e.g. WMO have tried to ensure that they use their own budget for staff to attend workshops). 	<ul style="list-style-type: none"> - Current uses of co-finance resources seem to target training activities. – See Annex 6: Co-financing table.



	<ul style="list-style-type: none"> - According to UN Environment PIRs, disbursement as of 30.06.2017 is \$2,237,491 (\$881,182 from UN Environment side and \$1,356,309 from UNDP's side). - Current co-finance resources have been used to send stakeholders to training sessions and/or host in-country training sessions, but no information on actual spending is available (according to PIRs). - Co-financing expenses reported by UN Environment differ completely from co-financing commitments described in the Project Document, both in terms of sources and amounts. Although this does not seem to have hampered project implementation, it questions the meaningfulness of initial co-financing commitments. 	
<p>Project level monitoring and evaluation systems</p>	<ul style="list-style-type: none"> - The MTR is undertaken late, making it difficult to produce recommendations that could affect project design. - Specific tools to assess capacity building exist but cannot be used for evaluation purposes at this stage. - There was no proper baseline for individual capacity despite rapid assessment conducted at the early implementation phase. Surveys to assess training needs and set the baseline information are still ongoing (as per HYR 2017). - No follow-up capacity assessment has been conducted to compare progress against baseline; these follow up surveys are planned for end of project therefore not allowing adjustments in project activities. National stocktaking reports are however available and provide a brief overview of the level of capacities before in-country trainings. - UNDP has not conducted a gender analysis – required by GEF – for every reporting periods. 	<ul style="list-style-type: none"> - It is recommended to conduct post-training surveys in order to assess the long-term impacts of training sessions; and to make adjustments where necessary. Post-training surveys and impact tracking is required to understand how these interventions have contributed to the ultimate purpose, i.e. developing high-quality, country-driven NAPs. - It is recommended, for future projects, to conduct baseline assessment at project onset so that changes in capacities over the course of the project can be properly assessed. - A gender analysis should be implemented at every reporting periods to assess gender balance in project activities (e.g. trainings).
<p>Stakeholder engagement</p>	<ul style="list-style-type: none"> - The regional and one-on-one workshops organised by the project were opportunities for national stakeholders from different and same countries to meet: for instance, UNFCCC Focal Point and GCF NDA of a same country – who had sometimes never met before – were brought together during the workshops. However: <ul style="list-style-type: none"> - Not all relevant national stakeholders are involved in project implementation, e.g. rep. of met services and researchers/academics have been largely left out of regional workshops. - Asia and Latin America are under-represented amongst countries that received one-on-one support. 	<ul style="list-style-type: none"> - Geographical distribution of one-on-one training indicates an under-representation of some non-LDCs. Further one-on-one support should support countries in under-represented regions (e.g. no Caribbean country benefited from one-on-one support, and Central and South America are relatively less represented among beneficiary countries). Although support was provided upon request from the countries, it is unclear whether lack of demand from certain countries is because information on available support has not been as well



		disseminated (e.g. by UNDP national offices) as in other countries.
Reporting	<ul style="list-style-type: none"> - Google Analytics reports and weekly traffic reports are produced to track views on the NAP GSP domain: 15,183 pages viewed between May 2017 and 2018. - Subscribers to newsletters tracked: 2066 active recipient as of May 2018. <p>However:</p> <ul style="list-style-type: none"> - The PIR reports and HYRs do not report on problems; the evaluation of implementation progress in the last UN Environment PIR is very positive as most activities are reviewed as “progressing according to workplan” (possible lack of critical views); finally, it is unclear how different the PM is from the TM as rating from PM and TM on Risk Factor Table in PIRs are similar. 	<ul style="list-style-type: none"> - It is recommended to use a standardised methodology to streamline future reports. - It is critical to verify sources of information to avoid discrepancies between reports. - PIRs/HYRs should be completed more thoroughly.
Communication	<ul style="list-style-type: none"> - Trainings of Trainers materials are password-protected therefore not accessible to non-partner countries - Online resources for NAP is a crowded landscape (UNFCCC Central NAP, NAP Global Network, NAP GSP, CoP etc.). Although the NAP GSP contributes to NAP Expo and NAP Central portals, this contributes to the fragmentation of the supply, which makes it difficult for practitioners (non-consultants, non-specialist) to navigate. One respondent suggested to streamline all resources into the UNFCCC NAP Central website. - The NAP-GSP Website is not user-friendly (country partners reported difficulties to use the website). - Knowledge-sharing mostly happens during regional trainings and for countries that benefited from 1 on 1 support, and is very limited for other countries, according to respondents. - Several CoP and knowledge exchange platforms for NAP are available but their use by project beneficiaries is unclear. NBSAP forum (knowledge-sharing platform) could provide lessons to improve the clarity of online knowledge sharing platform for climate change adaptation 	<ul style="list-style-type: none"> - Improving access to online tools (e.g. access by request or open access) is recommended. - A NAP GSP website is available with reports freely accessible. This improves the visibility and public awareness of this initiative. However, the design/access of this website should be improved and updated to ensure the sustainability of project interventions (<i>a communication expert has been hired to address this gap according to one respondent</i>). - It is recommended that the Project Team explores ways to streamline online resources.
Overall Project Implementation & Adaptive Management rating	S	



3.4 Sustainability

This section assesses the likelihood for the project to continue yielding benefits after the project ends. Risks that could affect project outcomes are also identified.

Table 8. Assessment of project sustainability.

Risk to sustainability	Mitigation measures	Remaining risks	Recommendations
Financial	<ul style="list-style-type: none"> - Trainings were provided to stakeholders in relevant line ministries to mainstream CCA into regular budgets and planning, thereby enhancing access to domestic finance to support the NAP process. - Direct in-country support under Outcome 1 helped countries identify priorities for strengthening adaptation planning and served as a basis for the development and submission of proposals to the GCF on adaptation planning. - Access to GCF Readiness funding is enhanced – e.g. the GCF organised a workshop to improve the quality of NAP proposals. - The project sought to connect stocktaking and roadmaps findings to NAP-related funding proposals which are under development for domestic sources, GCF and other multilateral and bilateral sources. 	<ul style="list-style-type: none"> - All thematic areas that were identified as priorities have not been covered yet by training (e.g. cities, climate finance to move away from grant requests, insurance). 	<ul style="list-style-type: none"> - If resources are still available, it is recommended to convene project partners and identify what gaps still remain to be addressed in trainings. - Trainings to access GCF resources could have a broader scope to not only focus on access to grants but also access to other financial tools, e.g. loans.
Socio-economic	<ul style="list-style-type: none"> - Stakeholders from partner countries are aware of the project and involved as request for thematic trainings/ one-on-one support are formulated. - Progress was made on mainstreaming CCA into policy and moving the NAP process into various sectors (in addition to the environment) by training a wide range of partners to mitigate 	<ul style="list-style-type: none"> - Knowledge exchange and sharing of lessons learned with regional countries could stop at project's end as, at the moment, such exchange essentially happens during workshops organised by the project. The reviewers note that knowledge platforms, such as REGATTA and APAN, are made available for knowledge exchange; however, the 	<ul style="list-style-type: none"> - Budgeting for the organisation of workshops rather than setting up knowledge exchange platforms is recommended to facilitate/promote knowledge sharing on the NAP process and to enhance partnerships among countries.



	<p>risks linked to low level of stakeholder ownerships.</p> <ul style="list-style-type: none"> - All the knowledge products and e-learning materials on NAP are made available on UNDP Adaptation and NAP Central website and will be accessible beyond project's lifetime. 	<p>reviewers could not assess how these platforms are used and if they will continue to be used at project's end (these platforms were not mentioned during interviews with country partners).</p>	<ul style="list-style-type: none"> - Assessing uses of the knowledge exchange platforms – REGATTA and APAN – as part of the project TE and beyond project's end would be useful to assess the value-add of these platforms for future projects.
Institutional framework and governance	<ul style="list-style-type: none"> - Legal framework and policies are supporting the project which is aligned with country priorities for CCA (as detailed in NAPs, NCs, etc.). - Cross-sectoral coordination has been promoted and technical capacity increased through training sessions. - The project was an opportunity for partner organisations (e.g. UN organisations, GIZ) to build inter-personal relationships that could form the basis for future initiatives to further advance the NAP process within non-LDCs. 	n/a	n/a
Overall Sustainability rating²³	L		

²³ The four-point scale used is: Likely (L); Moderately Likely (ML); Moderately Unlikely (ML) and Unlikely (U).



4. Conclusions and recommendations

4.1 Conclusions

The evaluation of the project NAP GSP Non-LDCs NAP Development Support is satisfactory, with variance across individual components. The strengths, weaknesses and achievements of the project so far are described below, and grouped into four main categories, assessed through this MTR: i) Project design; ii) Outcome achievements; iii) Implementation arrangements; and iv) Monitoring, evaluation and reporting.

- Project design

The main strength of the project is that it was designed as a response to requests from non-LDCs formulated during COP18 and COP19. It is also well-aligned with country priorities for adaptation such as delineated in NCs, and TNAs. The project supports a flexible approach to implement trainings, which have been designed to respond to needs expressed by non-LDCs, e.g. tailored to specific regions and focused on areas identified as priorities by non-LDCs. Tools and guidelines for advancing the NAP process are also being prepared to fit the specific needs of non-LDCs, including language requirements. In addition, the 'e-learning' material prepared by the project will be made available online in order to ensure access and use beyond the project's lifetime. A NAP GSP website has been developed for this purpose. The NAP GSP website also serves as a platform to share relevant information about the project as well as the material used during training sessions.

A sustainability strategy is being designed, as part of the project, to ensure online services will be maintained beyond the project's lifetime. To further promote the sustainability of project interventions, trainings were designed to target stakeholders from a broad range of ministries, including ministry of finance and planning. This approach will ensure that these stakeholders are well-aware and remain involved in the NAP process in their country. In addition, it contributes to foster the mainstreaming of adaptation into planning and budgeting in non-LDCs. Finally, the project design is gender-sensitive. The stakeholder consultations conducted at PPG phase were gender-balanced; gender issues were integrated into training modules and the Result Framework includes gender-sensitive targets which have been achieved.

However, the review team noted several weaknesses. For example, the lesson learned on the need for regular trainings in order to effectively build capacities among technicians has not been fully integrated into the project design. Given the lifetime of this project, the issue of sustained trainings could have been addressed by adopting a 'training of the trainers' approach. In addition, while the project has partnered with relevant institutions to provide technical trainings, the project design does not specifically cater for engagement with the academic sector and climate researchers; these stakeholders can play a significant role to advance the NAP process. Finally, two indicators (for Outcome 3 and Output 2.1) could be improved to better align with activities.

- Outcome achievements

Overall, the project has been highly successful in terms of delivering the planned training activities (Outcome 1) and, to some extent, producing country-tailored e-learning material to advance the NAP process among non-LDCs (Outcome 2). Within Outcomes 1 and 2, the project overachieved some of its targets. Communication over project activities is also promoted through the NAP GSP website, which is being upgraded at the moment. In addition, a newsletter is widely disseminated, and a Community of Practice has been established to



promote the dissemination of information and lessons learned for advancing the NAP process among non-LDCs.

As some of the project targets have been overachieved, this suggests that these targets were understated by the project team and could be increased. The review team also notes that the training packages developed under the project are not yet: i) translated into relevant non-LDC languages; and ii) available online. Finally, the NAP GSP website that has been developed by the project still needs improvements as it is not user-friendly at the moment (*the evaluators note that the website is still being improved*).

- Implementation arrangements

The implementation arrangements are effective, with clear shared responsibilities between UN Environment and UNDP. These arrangements have been designed based on the comparative advantages of both agencies. In addition, partnerships with other organisations to provide technical trainings were successful. These partnerships have set the basis for future collaborations among these organisations to continue advancing NAP processes among non-LDCs. Synergies with other existing programmes (NAP GSP for LDCs, NAP Ag²⁴) have been systematically sought to: i) reduce costs (e.g. by hosting back-to-back strategic meetings); and ii) use the projects’ outputs to support countries in leveraging funds from donors (including the GCF).

- Monitoring, evaluation and reporting

Major project’s weaknesses fall under this category. The review team questions the use of the knowledge exchange platforms and CoP to share lessons and best practices on advancing the NAP process. At the moment it is not possible to assess this. However, results from interviews suggest that knowledge exchange between countries essentially happens during training sessions and workshops, and not on the platforms and CoPs. It should also be noted that not all progress towards results can be fully assessed by the evaluators. This is because some of the indicators used by the Project Team to measure targets are means-based instead of result-based. In addition, no baseline study was conducted at project onset. Since capacity assessment surveys were still sent out well into the project implementation phase, it is difficult to establish a real baseline for the project to assess project progress/outcome against baseline. With a focus at the national – instead of individual – level, the regional stocktaking reports provide a limited basis for this assessment. Moreover, the lack of follow-up capacity assessment after trainings does not allow for: i) adjustments in the delivery of trainings; ii) identification of gaps to address through additional trainings; and iii) assessment of changes in technical capacity that would have resulted from project interventions.

Finally, issues in project monitoring and reporting in PIRs and HYRs were noted. These reports are often incomplete and present discrepancies.

4.2 Recommendations

Recommendation	Management response	Key actions	Timeframe	Responsible Unit	Status	Comment
Project design (section 3.1)						

²⁴ The programme “Integrating agriculture in National Adaptation Plans” is jointly coordinated by UNDP and FAO.



Revise target for Outcome 3 to <i>number of individual with multiple interactions</i>				UN Environment		
Revise target for Output 2.1.: Number of <i>gender-sensitive</i> training packages developed for non-LDCs to advance their NAP process				UN Environment		
Outcome achievements (section 3.2)						
Project objective: Implement capacity assessments after regional trainings – e.g. using quantitative surveys with likert (rating) scale that allow to assess changes in capacity level. Post-training surveys will help to identify gaps that remaining trainings can address; as well as to understand how these interventions have contributed to the ultimate purpose, i.e. developing high-quality, country-driven NAPs.				UN Environment		
Outcome 1: Continue to connect stocktaking and roadmaps findings to NAP-related funding proposals which are under development for domestic sources, GCF and other multilateral and bilateral sources.				UNDP		
Outcome 2: Implement additional trainings focusing on region under represented and/or involving women (under-represented in the training sessions in Africa)				UN Environment		
Output 2.3: Ensure online access to training packages in relevant languages				UN Environment		
Outcome 3: Strengthen the knowledge management strategy to ensure that this strategy facilitates peer-to-peer collaboration and exchange in support of the development and implementation of country-lead NAP processes				UNDP		



<p>Output 3.1: As the use of the CoP is unclear, focus on organising further trainings and workshops as opportunities to develop strong partnerships among countries and promote knowledge sharing</p>				UNDP		
<p>Output 3.1: Continue improving the NAP GSP website, also in association with other projects – e.g. the LDC Negotiators project – and sharing best practices in UNDP/ UN Environment.</p>				UN Environment		



Annex 1 – MTR ToRs

Standard Format for Terms of Reference (ToR)

Organizational Unit: Ecosystems Division: Climate Change Adaptation Unit

1. Purpose

Two Mid-term reviews of two global support projects are to be carried out. These two projects are under the National Adaptation Planning (NAP) Global Support Programme (GSP). They are **“Building capacity for LDCs to participate effectively in intergovernmental climate change processes” GEF project ID:5615** and the **“Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)” GEF project ID: 1247**

The NAP GSP project: “Building capacity for LDCs to participate effectively in intergovernmental climate change processes” addresses the shortfalls in institutional and technical capacity – as well as in awareness – that prevent LDCs from assuming greater ownership of the implementation of the UNFCCC. In addition, the GSP supports the establishment of sustainable institutional arrangements so that LDCs have the capacity to coordinate their own adaptation and mitigation efforts. Presently, there are disparate levels of capacity within LDCs to participate effectively in intergovernmental climate change negotiations and the coordination of global climate change efforts. Although there has been an increase in the capacity of LDC negotiators and focal points because of participation in capacity-building initiatives and ongoing UNFCCC processes (such as the NAPA), the development of negotiation skills and technical capacity has not been uniform across all LDCs. Similarly, despite the increase in participation and influence of LDCs in intergovernmental climate change negotiations since the UNFCCC was first established, many LDC negotiators still have limited capacity to represent their countries’ national interests and implement the resolutions of intergovernmental climate change negotiations. As a result, many LDCs are prevented from effective participation in ongoing global efforts to respond to climate change.

The NAP GSP project: “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)” aims to promote medium- to long-term planning for climate change adaptation in non-LDC developing countries. SCCF resources have been allocated to establish a support mechanism focused on three main pillars, namely: i) institutional support; ii) technical capacity-building; and iii) knowledge brokerage. This support will be provided to all non-LDC developing countries upon request and will be flexible enough to be tailored to each country’s needs and national circumstances. The SCCF-financed GSP will therefore support non-LDC developing countries to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The project is being implemented by UNEP and UNDP and built on existing partnerships built and implementation arrangements put in place under the existing LDCF-funded project ‘Assisting Least developed Countries with country-driven processes to advance National Adaptation Plans’.

1.2 Qualifications / special skills or knowledge

The Consultant should:

- Have completed an advanced university degree in environmental sciences, international development or other relevant political or social sciences area
- Have 5 – 7 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach
- Have good knowledge of climate diplomacy and the negotiation process, multilateral agreements and familiarity with UNFCCC processes
- Knowledge of the UN system, specifically of the work of UN Environment.
- Excellent writing skills in English and, where possible, knowledge of the UN system, specifically of the work of UN Environment and/or UNDP. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation/review consultants.
- Be fluent in English

1.3 Result of services:



In line with the UN Environment Evaluation Policy¹ and the UN Environment Programme Manual², the Mid-Term Review (MTR) is undertaken approximately half way through project implementation to analyze whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR will assess project performance to date (in terms of relevance, effectiveness and efficiency), and determine the likelihood of the project achieving its intended outcomes and impacts, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and UNDP. Therefore, the review will identify lessons of operational relevance for future project formulation and implementation especially for the second phase of the project, if applicable.

The MTR framework should examine key questions, as follows:

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine to what extent the projects are on track to reach their objective and Outcome targets.
- Recommend corrective actions to keep project implementation on track and for effective use of remaining resources.

1.4 Duration:

3 months

Start Date: 5 March 2018

End Date: 30 May 2018

The consultant is expected to work a total of 60 days over 3 months.

2. Workplan

2.1 Objectives, output expectations and performance indicators:

The overall objective of the consultant’s services is to review progress to date against project objective and targets of the project entitled: **Building capacity for LDCs to participate effectively in intergovernmental climate change processes project** as well as the **“Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)” project**; to identify risks to sustainability and to provide recommendations on actions that can be taken to keep implementation progress high and effective and for sustainability of the results. The consultant is expected to deliver high quality products and services in relation to the following:

Deliverables:

1. **2 Inception Reports:** containing the understanding of the consultants on the assignment, a methodology for the data collection including a set of questions to address the review criteria; a list of documents for review, the survey instrument; the proposed set of key informants and survey participants; and the timeline for preparation of the two MTRs.
2. **2 Preliminary Findings Notes:** typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio reviews or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
3. **2 Draft and Final Review Reports:** (see links in Annex 1) containing an executive summary that can act as a standalone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
4. **2 Response sheets to two rounds of reviews of the draft MTR reports.** The MTR consultant will submit a draft response report addressing UN Environment & UNDP task managers regarding the Agency review of the draft MTRs. One last response sheet addressing external review comments should be prepared.

Note: 1 deliverable each for respective project i.e. one set of deliverables for the “Building Capacity of LDC negotiators Global Support Programme” (LDC Negotiators) project and one set of deliverables for the “Assisting



Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans” (NAPs) project

2.3 MTR framework

Each MTR report should explain; the purpose of the review, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. The review report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs.

The MTR should comprise the following sections:

A. An executive summary (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the review;

B. Project description and background context giving a brief overview of the evaluated project, for example, the development context; the problems that the project sought to address; the project objective and status of activities, project implementation arrangements and key partners and stakeholders involved in the project;

C. Findings, which should be presented around four themes: i) project strategy ii) progress towards results iii) project implementation and adaptive management and iv) sustainability.

C1: Project strategy should include questions such as the extent to which lessons from similar projects were incorporated into the project design, for example the NAP GSP ‘LDC NAP planning project’; the extent to which stakeholder’s views were taken into account when designing the project; and the sustainability and visibility of the project.

C2. Progress towards results: this should assess progress in achieving the planned targets at mid-term of the project. The assessment should be based on the Project Implementation Reports, technical reports and interviews with stakeholders and other related information. Key questions would be whether there is evidence of the impact of the institutional and capacity support provided by the project, leading to either more informed policy positions on UNFCCC negotiating agenda items OR (depending on the project) increased information and awareness influencing political decision-making at national levels including national and sectoral adaptation planning processes? Was there increased use of tools and approaches that advanced the NAP processes?

A 6-point scale should be used to assess the project’s progress towards its objective and Outcome: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS); Moderately Unsatisfactory (MU) and Unsatisfactory (U).

C3. Project implementation and adaptive management:

i) *Management arrangements* should include a focus on:

- Whether there was an appropriate focus on results;
- 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)?
- Adequacy of management inputs and processes, including budgeting and procurement;
- Candor and realism in the annual reporting exercise;
- The quality of risk management;
- Responsiveness of the executing agencies to significant execution issues;
- How project implementation delays may have affected project outcomes and sustainability

ii) *Work planning* should include a focus on:

- Causes of start-up and implementation delays, and examine if they have been resolved;
- Identify if work planning processes are results-focused and if not, suggest ways to make them so;
- Examine whether the project logframe is used as a management tool and review any changes made to it since the project start.



iii) *Finance and co-finance* should include a focus on

- variances between planned and actual disbursements,
- variances between actual and planned co-finance,
- the quality of financial controls and whether systems allow for project management to make informed decisions about the budget at any time;
- the number of budget revisions, the appropriateness of the budget revisions and whether funding allocations have been made on the basis of the budget revisions;

iv) *Project level monitoring and evaluation* systems should include a focus on:

- The quality of the monitoring and evaluation plan: were sufficient resources allowed for the implementation of the M&E plan?
- Do the monitoring tools allow for sufficient information about the project performance? Are they efficient?
- The extent to which follow-up action was taken following a PIR?

v) *Stakeholder engagement* which should include a focus on:

- Has the project accounted for the broad geographic extent and large number of stakeholders involved?
- Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Are there any limitations to stakeholder awareness and participation in the project activities?
- 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?

vi) *Reporting and communication* which should include a focus on the following:

- Assess how the adaptive management changes have been reported by the project team and shared with the Project Board;
- Whether communications have been regular and effective;
- Whether there are feedback mechanisms from stakeholders to the project management team;
- Whether the communications contribute to the long-term sustainability of the project;

C4. Sustainability:

Sustainability is defined as the continuation of benefits after the project ends. The MTRs will provide mid-term information on the likelihood of the project achieving financial, socio-economic, institutional framework, governance, environmental sustainability. Consequently, the MTR should consider the risks in attaining sustainability at mid-term. The MTR should consider whether the risks identified in the project document are the most appropriate ones and whether the risk ratings are appropriate and up to date. The MTR consultant should consider ways to build risk management into the project strategy.

i) *Financial sustainability:*

- The risks of resources drying up after the project ends;
- The options for financial sustainability;
- Additional factors needed to create an enabling environment for continued financing;

ii) *Socio-economic sustainability:*

- Are there any social or political risks that could jeopardise the sustainability of project outcomes?
- The risk that the level of stakeholder ownership will be insufficient to allow for the project benefits to be sustained;
- Is there sufficient stakeholder awareness in support of the project?
- Are lessons learned being documented by the project team on a continual basis?

iii) *Institutional framework and governance sustainability*

- Do the legal frameworks, policies, governance structures and processes pose risks that jeopardise the project benefits?
- Has the project developed sufficient institutional capacity (systems, structures, expertise) that will be self-sufficient after the project closure date?
- Has the project identified and involved champions who promote sustainability of the project outcomes?



- Has the project achieved stakeholders’ consensus regarding courses of action that can be taken to after the project closure date?

One sustainability rating should be applied following the assessment of the sustainability categories above. The four-point scale is: Likely (L); Moderately Likely (ML); Moderately Unlikely (ML) and Unlikely (U).

F. Conclusions

Based on the review and assessment carried out in Section C above, the report should arrive at a comprehensive and balanced conclusion of the project, highlighting the strengths, weaknesses and results of the project. The conclusions should be well substantiated by the evidence.

The conclusions should be the basis to the identification of practical and feasible recommendations. Recommendations may include:

- Corrective actions for the design, implementation and monitoring and evaluation of the project;
- Actions to follow up on to reinforce the benefits from the project;
- Proposals for future directions

The recommendations should be *actionable* proposals that are:

1. Implementable within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contain results-based language (i.e. a measurable performance target)

The Recommendations should be synthesized in a table highlighting the recommendation, suggested action, responsible party and timing, as follows:

Recommendation	Management response	Key actions	Timeframe	Responsible Unit	Status	Comment

E. Annexes include Terms of Reference, list of interviewees, documents reviewed, brief summary of the expertise of the review team, a summary of co-finance information.

(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 UNDP Strategic Plan, 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.
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: including IFAD, FAO, WHO and UNITAR, UNFCCC and other internal and external partners;
- Project board meeting minutes

2.3.1 Data collection methods

The Consultant, under the overall guidance of UNEP, will develop the MTRs on the basis of a literature review and stakeholder interviews, as follows:

- b) Interviews and surveys with four sets of stakeholders i) the beneficiaries of the one to one NAP support and the regional trainings ii) the partner organizations involved in executing the NAP GSP projects iii) the funder (GEF) and different areas of the UNFCCC Secretariat, eg the LEG group and iv) the executing agencies: UN Environment and UNDP.

2.3 Timeline

Table 1: Timeline for preparation of the mid-term review for both NAP GSP projects



Deliverable	Expected date of delivery
Inception report	21/03/2018
Powerpoint/presentation on preliminary findings and recommendations	13/04/2018
Draft report to UNDP and UNEP	20/04/2018
Comments back to MTR reviewers	30/04/2018
MTR sent for external review	04/05/2018
Comments back to MTR reviewers	18/05/2018
Final Report and updated Powerpoint presentation on the main findings	30/05/2018

2.4 Reporting lines

The consultant will report to of the appointed officer at the Climate Change Adaptation Unit, UN Environment as well as closely collaborate with the relevant UNDP task manager of the project.

2.5 Conduct of work

A kick-off meeting by skype or other remote working means should be organized in the first two weeks of the assignment between the MTR consultants, UN Environment and UNDP to agree on the direction and methods for the MTR.

Data analysis should be conducted in a systematic manner to ensure that all the findings, conclusions and recommendations are substantiated by evidence. Appropriate tools should be used to ensure proper analysis (e.g. including a data analysis matrix that records, for each evaluation question/criteria, information and data collected from different sources and with different methodology).

No mission travel is foreseen for the preparation of these MTRs. Missions can be proposed by the consultants to UN Environment for the data gathering phase of the project and will be considered on its merits.

Primary data collection will be via telephone, skype or other electronic means.

The consultants should maintain regular contact with UN Environment by telephonic or electronic means and seek guidance where needed.



Annex 2 – Example questionnaire or interview guide used for data collection

Two different questionnaires were used, one for beneficiary countries (Table 1) and one for project implementation partners (Table 2).

Table 1. Questionnaire used to guide interviews with beneficiary countries.

CAPACITY INDICATOR		RESPONSES
1	To what extent does planning take into consideration available evidence on climate change (CC) and lessons learned from past CC programming? How has NAP support programme influenced this?	
2	To what extent do risk management, CC modelling and CC scenarios inform planning at the national/provincial/municipal level? Has the NAP support programme assisted with this or been requested to provide assistance with this?	
3	To what extent is programme development aligned to CC policy priorities at national/provincial/municipal level?	
4	To what extent is there effective advocacy for the inclusion of CC in planning, budgets and programming? Has the NAP support programme been requested to provide guidance or assistance if not? If they have, how effective has this assistance been in bringing about change within your country specifically?	
5	To what extent is there a results-based management (RBM) system and culture in CC programming (incl. clear outcomes/ outputs, and indicators)? Has the NAP support programme assisted with providing guidance/training on the importance of this?	
6	To what extent is CC knowledge shared and accessible through appropriate media/platforms to provide a base to incorporate CC risks and opportunities at all levels? Do you make use of the knowledge sharing platform provided through the NAP GSP programme?	
7	To what extent do local governments and stakeholders have access to national and / or regional sources of expertise on CC?	
8	To what extent is global and regional learning adapted to the national context though regional exchange/ learning mechanisms (e.g. CoPs)?	
9	To what extent are global, regional or national ' good practices ' contextualized to address community CC risks and opportunities at the local level? Are there local experts who can assist with synthesising this information and have they been identified and included in the NAP support programme?	
10	To what extent do public awareness programs include CC risks and opportunities?	
11	To what extent are CC public awareness programs accessible to communities so it overcomes local languages and literacy barriers?	



12	To what extent is local knowledge ‘scaled up’ to governorate and national level? Is there any support from NAP support programme on how to achieve this and if not, has this been requested?
13	To what extent are alternative sustainable livelihood opportunities identified and knowledge and skills improved for livelihood activities?
14	To what extent is the performance of CC programs assessed by communities and responded to e.g. balanced score cards?

Table 2. Questionnaire used to guide interviews with project implementation partners.

1 Satisfaction	
1.1	What in your view have been the key achievements thus far; i.e. what would not have happened, or happened as quickly without the project?
1.2	To what extent is the projects work aligned to key priorities of your organisation/country?
1.3	What are areas in which the project could do better in terms of quality of interactions, processes that the project uses, technical work or knowledge sharing? Please give examples.
1.4	Please comment on how well the project is addressing or incorporating into its work emerging priorities, such as, renewed emphasis of gender equality, sustainability or country ownership?
2 Collaboration and partnering	
2.1	Is the project doing enough to partner with other relevant organisations? In what ways are they working well? Are any important connections not being made, and if this is the case, how can they improve?
2.2	In what ways is the project contributing to international and/or multi-partner for fora? (please provide specific examples)
3 Knowledge management and capacity building	
3.1	Which of the projects knowledge management products - such as tools and methodologies, publications, website - do you use these for your work? Please comment to the extent to which you find these products timely and useful. How could they be improved?
3.2	How do you find out about the projects innovations and activities that occur? From your understanding, how are products being developed for one country being shared with others? How could this be improved?
3.3	In your view, is the project addressing capacity building needs? Please elaborate.
3.4	How does splitting in-depth (one on one) interactions and training between UNDP and UN Environment affect the projects ability to provide support to countries?
4 Future direction	
4.1	Given you experience with the project and other centrally funded projects, what are the strengths and weaknesses of this project and what would you like to see changed in future project designs?
4.2	What are the technical gaps or emerging priorities that need to be addressed, either in the remainder of this project or in a follow on one?



Annex 3 – Ratings scales

Progress towards results were rated according to the scale presented in the table below.

Ratings for Progress Towards Results		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

As per the ToRs of the MTR, sustainability on the following four-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (ML) and Unlikely (U).



Annex 4 – List of persons interviewed

Project implementation partners		
Name	Position/organisation	
Mozaharul Alam	Regional Climate Change Coordinator, UN Environment-ROAP	
Srilata Kammila	Regional Technical Advisor – Adaptation, UNDP-GEF	
Rohini Kohli	Lead Technical Specialist, UNDP-GEF	
Umberto Labate	Programme Management Analyst, UNDP-GEF	
Julie Teng	Technical Specialist, UNDP-GEF	
Tunnie Srisakulchairak	Programme Officer, UN Environment-ROAP	
Angela Lentisco	Adaptation Specialist, UN Environment-ROAP	
Sebastian Rodriguez Claros	Adaptation Specialist, UN Environment Latin America and the Caribbean Office	
Esther Lake	Knowledge Management and Communication Specialist, NAP-GSP	
Dustin Schinn	GEF	
Amir Delju	WMO	
Marcus Mayr	UN Habitat	
Jason Spensley	GCF	
Fabiola Tábora Merlo	GWP	
Beneficiary countries		
Name	Country	Institution
Lea Kai	Lebanon	Ministry of Environment
Jean-Claude Koya	Ivory Coast	Ministry of Planning and Development
Diana Harutyunyan	Armenia	Ministry of Nature Protection
Pascal Girot	Costa Rica	Ministry of Environment and Energy



Annex 5 – List of documents reviewed

Online – NAP GSP website – country support pages

- NAP-GSP Country Support

Stocktaking reports

- Stocktaking Reports – online

Country briefings

- Uruguay
- Papua New Guinea
- Armenia
- Morocco
- Ecuador

Regional briefs

- Regional briefing on NAPs: Asia-Pacific in focus
- Regional briefing on NAPs: Caribbean in focus
- Regional briefing on NAPs: Africa in focus

Training event materials

- NAP GSP regional training workshop – African non-LDCs
- NAP GSP regional training workshop – Asia – mainstreaming climate change adaptation into water resources
- NAP GSP regional training workshop for the Caribbean
- NAP GSP regional training workshop for the Middle East and North Africa (MENA)
- NAP GSP regional training workshop for Central America
- NAP GSP regional training workshop for South America
- NAP GSP regional training workshop for Asia and the Pacific
- NAP GSP regional training workshop for Eastern Europe, Caucasus and Central Asia (ECCA)

Training event articles

- African developing countries gather to advance their climate change adaptation planning
- Asian countries meet to focus on climate change adaptation and water resources
- Middle East and North African governments have identified common needs to boost climate change adaptation and resilience
- Central American countries, Cuba and The Dominican Republic share experiences in climate change adaptation planning
- Latin-American countries meet to address NAPs
- Representatives from Asia and the Pacific gather to focus on NAP
- ECCA countries gather to discuss coordinated action towards disaster risk reduction and climate adaptation

Training materials: NAP GSP training materials

NAP-GSP regional training workshop reports

- Workshop report: NAP GSP regional training workshop – Asia
- Workshop report: Regional training workshop Middle East and North Africa



- Workshop report: NAP GSP regional training workshop for Central America
- Workshop report: NAP GSP regional training workshop for South America
- Workshop report: NAP GSP regional training workshop for Asia and the Pacific
- Workshop report: NAP GSP regional training workshop for Eastern Europe, Caucasus and Central Asia (ECCA)

Knowledge sharing and exchange

- COP23 - GCF 'NAP Clinic' at COP 23
- COP22 - Focus on NAPs
- NAP EXPO 2017
 - NAP expo Asia opens in Seoul
 - NAP expo Asia highlights
- NAP EXPO 2016 - NAP expo 2016 parallel session: establishing baselines for NAPs and scaling up adaptation action
- APAN

Brochures / factsheets / info

- About the NAP GSP
- NAP country-level training factsheet
- NAP GSP poster for NAP expo 2017

Email newsletters

- NAP GSP email newsletter December 2017
- NAP GSP email newsletter May/June 2017
- NAP GSP email newsletter November/December 2016
- NAP GSP email newsletter April/May 2016
- NAP GSP email newsletter November/December 2015

Nap-GSP website portal

- <http://globalsupportprogramme.org/NAP-GSP>

Social media

NAP-GSP [Youtube channel](#)

NAP-GSP [Flickr](#)

NAP-GSP [Twitter](#)

Other documents

- Project Board Meeting documentation 2015-2016
- Project Board Meeting documentation 2016-2017
- Technical Advisory Group documentation 2015-2016
- Technical Advisory Group documentation 2017-2018
- Stakeholder list
- NAP-GSP KM and Communications Strategy



Annex 6 – Co-financing table

	Committed in the Project Document	Reported expenses	Balance
UNDP (sub-total)	38,000,000	9,764,199	-28,235,801
Supporting developing countries to integrate the agricultural sectors into NAPs	8,000,000	5,183,682	-2,816,318
Japan-Caribbean Climate Change Partnership	15,000,000	4,580,517	-10,419,483
Low Emission Capacity Building	15,000,000	UNDP to provide	-15,000,000
UN Environment (sub-total)	800,000	13,223	-786,777
GAN	550,000		-550,000
WARN CC	50,000		-50,000
APAN	100,000		-100,000
REGATTA	100,000		-100,000
PROVIA		13,223	13,223
UNITAR (sub-total)	3,000,000	143,625	-2,856,375
UNDP-led components		140,249	140,249
UN Environment-led components		3,376	3,376
UN Habitat		16,199	16,199
WMO		20,828	20,828
WHO		9,924	9,924
FAO		32,895	32,895
GWP		17,994	17,994
GIZ		13,393	13,393
Total	41,800,000	10,032,280	-31,767,720

Co-financing expenses reported by UN Environment differ completely from co-financing commitments described in the Project Document, both in terms of sources and amounts. Although this does not seem to have hampered project implementation, it questions the meaningfulness of initial co-financing commitments.



Annex 7 – Signed UNEG code of conduct form

(Each UNEG member to create its own forms for signature)

Annex 2: United Nations Evaluation Group Code of Conduct for Evaluation in the UN System

Evaluation Consultants Agreement Form

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.

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

Name of Consultant: Adele Cormac

Name of Consultancy Organisation (where relevant): C4 EcoSolutions Pty Ltd

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

Signed at (place) on (date)

Cape Town on 17 May 2018

Signature:  _____



Annex 8 – Signed MTR final report clearance form

Pending upon clearance of the MTR final report.