



EVALUATION OF UNDP WORK WITH LEAST DEVELOPED COUNTRIES FUND AND SPECIAL CLIMATE CHANGE FUND RESOURCES



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FOREWORD

This report presents the findings of an independent evaluation of UNDP work with the Least Developed Countries Fund and Special Climate Change Fund resources carried out by the United Nations Development Programme (UNDP) Evaluation Office. These funds were established under the United Nations Framework Convention on Climate Change and operated by the Global Environment Facility. The evaluation assesses UNDP's performance in supporting countries to access resources from the two funds, identifies issues and lessons, and makes recommendations for improvement. Specific issues examined include those related to the project cycle; quality, timeliness and efficiency of technical and managerial support; quality of project design and implementation; adequacy, effectiveness and quality of reporting and reporting arrangements; and the effectiveness and timeliness of communication between the various parties. Given the status of the two funds and the fact that implementation of projects is only beginning, it was too early to evaluate the actual results of work; thus the evaluation focused more on important operational issues.

Adaptation to climate change has emerged as a global priority, and UNDP sees it as crucial for reducing poverty in the long term. Climate change affects all aspects of societal development and impacts people's vulnerability to climate-related hazards. Poor people are the most vulnerable to climate change impacts. UNDP's objective is to reduce the risks that climate change poses to developing countries, enabling them to achieve the Millennium Development Goals. The UNDP strategic plan, 2008-2011, calls for focusing on supporting countries in (a) assessing vulnerability in key sectors; (b) integrating climate change risk considerations into national development plans and policies and (c) gaining access to new funding sources to support innovative adaptation initiatives.

UNDP is the lead agency providing support to the Least Developed Countries for accessing the Least Developed Countries Fund resources. It has assisted a large number of countries to prepare their National Adaptation Programmes of Action and their follow-up projects. UNDP is also programming close to half of the currently available Special Climate Change Fund resources. Nevertheless, partner countries have expressed concerns about the delays in implementing actual adaptation projects and the bottlenecks in the project cycle. These concerns have prompted this evaluation to review UNDP's performance in supporting the countries' access to resources from the Least Developed Countries Fund and Special Climate Change Fund. The evaluation analyzed all available documented information and conducted a thorough analysis of quantitative project data. Interviews were carried out with government focal points in selected countries, the UN Framework Convention for Climate Change secretariat, the GEF Secretariat, and UNDP technical staff in the Bureau for Development Policy and Regional Service Centres, as well as environmental focal points in selected country offices.

The evaluation found that there was justifiable dissatisfaction in the countries concerning the lengthy time periods and complex procedures required to move from the National Programmes of Action to concrete projects. In some cases, these have led to time lapses of several years before projects get off the ground. The evaluation identifies areas where efficiency gains could be obtained. There are also differing expectations amongst the different actors, including the programme countries and UNDP. The evaluation recommends an overall streamlining of the Least Developed Countries Fund and Special Climate Change Fund processes. Capacity development is needed in UNDP country offices especially to enhance their ability to support climate change adaptation. The lessons gained from work in this new area of vital concern must be harnessed to

improve the performance of UNDP as one of the pioneering organizations working on climate change adaptation.

The evaluation was conducted by an independent consultant, Klaus Talvela, with Juha Uitto as the Evaluation Office task manager. Concepcion Cole and Anish Pradhan provided excellent administrative and technical support at the Evaluation Office.

The research and conduct of the evaluation were completed thanks to the outstanding collaboration by the Environment and Energy Group of the UNDP Bureau for Development Policy and, in particular, the GEF team under the leadership of its Executive Coordinator, Yannick Glemarec. Special thanks go to Deputy Executive Coordinator John Hough and Technical Advisor Pradeep Kurukulasuriya, who provided access to all data and information available and generously shared their time during the evaluation.

I hope that the findings and recommendations of the evaluation will assist UNDP in further enhancing its support to the programme countries to deal with the critical challenge of adapting to a changing climate.



Saraswathi Menon
Director, Evaluation Office

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Acronyms and abbreviations

CEO	Chief Executive Officer
COP	Conference of the Parties
DANIDA	Danish International Development Agency
DoA	Delegation of Authority
EA	Enabling Activity
FSP	Full-sized project
GEF	Global Environment Facility
GPAS	GEF Pacific Alliance for Sustainability
IFAD	International Fund for Agricultural Development
IP	Initiation Plan
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
MSP	Medium-sized project
NAPA	National Adaptation Programme of Action
PACC	Pacific Adaptation to Climate Change
PIF	Project Identification Form
PIMS	Project Information Management System
PPG	Project Preparation Grant
RBA	Regional Bureau for Africa
RBAP	Regional Bureau for Asia and the Pacific
RBAS	Regional Bureau for Arab States
RBEC	Regional Bureau for Europe and the Commonwealth of Independent States
RBLAC	Regional Bureau for Latin America and the Caribbean
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCCF	Special Climate Change Fund
SIDS	Small Island Developing States
TA	Technical Assistance
UNEP	United Nations Environment Programme
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

Executive Summary

The UNDP Evaluation Office undertook a review of UNDP performance in supporting countries to access resources from the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF), with the goal of identifying issues and lessons and making recommendations for improvement. The methodology of the evaluation consists of an analysis of documented information and interviews. In total, 71 countries are or have been engaged in various stages of National Adaptation Programme of Action (NAPA)/LDCF and SCCF processes, and 112 processes have been supported by UNDP. The combined budgeted GEF contributions to these projects are 87,581,050 USD for the LDCF and 127,276,000 USD for the SCCF.

There is a NAPA/LDCF-related process going on in 34 countries. Nineteen Project Identification Forms (PIFs) have been submitted, five project documents have been submitted for GEF Secretariat endorsement, and two of those have been signed (Bangladesh and Samoa). The time elapsed from PIF approval to project document endorsement has varied between 489 to 636 working days, thus falling within a 22-month time frame. In countries such as Burkina Faso, Cape Verde, Eritrea, Sudan and Tuvalu, one to two years have passed since the time of PIF approval, without the project document yet being submitted. On average, the stages that depend on GEF Secretariat and/or UNDP approvals take from one and three months. Altogether 50 countries are involved in a SCCF process, and 23 have submitted a PIF. Most of the processes are at the 'idea' stage, and UNDP counts 13 SCCF projects in its portfolio. Five countries (Ecuador, Mozambique, Samoa PACC, Tanzania and Zimbabwe) have an endorsed project document. The database includes submission dates of Project Preparation Grant (PPG) requests and project document endorsement for Ecuador and Samoa PACC. In these countries, the preparation took 801 and 940 days, respectively, starting from the approval of the PPG.

The overall perception of UNDP performance in LDCF and SCCF management is relatively positive, although criticisms exist. The interviewees pointed out that the concepts and methods of adaptation have been a novelty to all. A number of bottlenecks were identified but no one criticized the performance of UNDP headquarters or the regional technical advisors. In two out of six government interviews, there was a message similar to the concerns expressed in the COP 14. There is a need for streamlining and simplifying the process and related procedures and mechanisms. Each stage should be looked at from the viewpoint of the value it adds to the entire process. Some governments were clearly critical about the role of UNDP country offices in the process and saw that the country office in question did not have adequate technical capacity.

There is a consensus that the LDCF and SCCF projects comply with the project selection criteria and are compatible with NAPA objectives. Most actors found the project designs relevant and feasible. The key issues appeared to be capacity gaps as well as challenges in support required and received at various levels. The communication is deemed to be effective, largely due to the frequent use of informal and direct channels. Most actors find the approval processes adequate but some do not feel sufficiently informed about how decisions are made, by whom, on what criteria, and in what time frame.

There is genuine frustration in the countries because of the long time and the amount of work needed before NAPAs can be converted into tangible and relevant projects. There are different expectations among the parties involved. Some countries question the entire governance structure of the LDCF and SCCF. Against the backdrop of the global aid effectiveness process, they are eager to

look at and propose ways in which the donor contributions could be channelled directly to the countries' financial management systems, without GEF and UNDP involvement.

The evaluation proposes a number of recommendations. An overall streamlining of the LDCF and SCCF processes needs to be considered. Possibilities should be considered for combining PIF and PPG into one single project stage, subject to one approval process. UNDP needs to expedite the step from PPG approval to IP approval. The need for capacity development in climate change and adaptation at various levels should be assessed, and consecutive strengthening measures should be taken. Effort must be invested in explaining the principles and rules of the LDCF and SCCF processes to a wider stakeholder audience. Training is needed in mechanisms and procedures of the project cycle. The current experiences should be fully systematized and exploited. Finally, the GEF and UNDP should contemplate what the development effectiveness process and its principles represent to the LDCF and SCCF mechanisms and what changes they may imply to the respective systems.

1. Introduction and background

Adaptation to the impacts of climate change is a basic element in the strategy of the United Nations Framework Convention on Climate Change (UNFCCC). To support developing countries and those with economies in transition in the adaptation processes, the UNFCCC has established financial mechanisms whose operations are assigned to the Global Environment Facility (GEF). The central instruments for that purpose are the GEF Trust Fund, the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF). The GEF operates them together with its agencies, notably the three original implementing agencies: United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the World Bank. Among the seven newer agencies, the Asian Development Bank, the African Development Bank, the International Fund for Agricultural Development (IFAD) and the World Bank are involved in the LDCF/SCCF operations.

The creation of the LDCF and SCCF is based on the Marrakech Accords of 2001. The LDCF is targeted to Least Developed Countries (LDC) to support them in implementing the National Adaptation Programmes of Action (NAPA) that are key elements in the LDCF strategy. NAPAs provide a process for LDCs to identify priority activities that address their urgent and immediate needs to adapt to climate change—those for which further delay would increase vulnerability and costs. As of December 2008, the UNFCCC Secretariat had received NAPAs from 39 of the 49 LDCs. The purpose of the SCCF is to finance projects relating to adaptation; technology transfer and capacity building; energy, transport, industry, agriculture, forestry and waste management; as well as economic diversification. Support through LDCF is conceived to respond to short-term adaptation needs, whereas SCCF supports long-term adaptation measures.

UNFCCC estimates that the global need for the implementation of the NAPAs is US\$500 million. So far, the GEF Secretariat has mobilized \$172 million for the LDCF and obtained \$90 million in pledges for the SCCF.¹ The Conference of the Parties (COP) is the supreme decision-making body of the Convention. It has established two permanent subsidiary bodies: the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI). These bodies give advice to the COP and each has a specific mandate. They are both open to participation by any party, and governments often send representatives who are experts in the fields of the respective bodies. For LDCF and SCCF, the guidance by SBI is of particular importance. The Convention has also created an LDC Expert Group to assist the countries with NAPA guidelines and to develop strategies for implementation of NAPA projects.

At the COP in Poland in December 2008 (COP 14), several LDCs expressed concern that LDCF and SCCF are operating with insufficient resources and that the process of implementing NAPAs is long and complicated. Parties discussed options for expediting this process. The SBI adopted conclusions and forwarded a draft decision on further guidance for LDCF operation to the COP for its consideration.² Also the LDC Expert Group prepared a work programme as part of its ongoing efforts to fulfil its mandate to support the NAPA implementation.³

While most countries involved in the LDCF process have finalized a NAPA, only a few have proceeded to implementing their respective projects. Many LDCs have been frustrated at not being

¹ http://www.gefweb.org/interior_right.aspx?id=232

² <http://unfccc.int/resource/docs/2008/sbi/eng/l21.pdf>, <http://unfccc.int/resource/docs/2008/sbi/eng/l21a01.pdf>

³ <http://unfccc.int/resource/docs/2008/sbi/eng/06.pdf>

able to access the funding, although with NAPAs completed, they have carried out significant preparatory work. After the decision was taken to create the mechanisms in 2001, it was not until COP 11 in 2005 that implementation guidelines were operationalized. The concept of adaptation and its practical applications were new to many actors.

It should be noted that such criticism is not uniform among all countries involved. Some claim quite positive experiences, and several others report that the negative perceptions may refer to specific cases. However, the overall progress of the two programmes has been slower than expected. By COP 14 in 2008 and including all NAPAs, countries had identified a total of 470 projects and activities but only one (in Bhutan) was under implementation.

Over the last two to three years, the adaptation mechanisms have experienced challenges in raising financial resources. It seems that UNFCCC, GEF Secretariat and its partners need to work to maintain the credibility of the two funds among the donor community. Several donor agencies have questioned the funding of SCCF, which they don't view very differently from other development mechanisms.

2. Scope and methodology

In response to these concerns, UNDP undertook an evaluation of its performance in supporting countries to access resources from LDCF/SCCF. The evaluation sought to identify issues and lessons and make recommendations for improvement.⁴ For this purpose, the UNDP Evaluation Office contracted an independent evaluator/consultant to carry out the present evaluation.

The evaluation focused on operational issues, particularly the efficiency of implementation. The evaluation does not deal with strategic aspects, such as relevance and impact. These will be included in the external LDCF evaluation that is being carried out by the Government of Denmark and the GEF Evaluation Office.⁵ The outcome of the present evaluation will contribute to the external one. The main audiences for the evaluation include UNDP at headquarters, regional, and country levels; GEF Secretariat; UNFCCC Secretariat and the DANIDA-GEF evaluation team.

The scope of the evaluation does not include assessment of individual projects and activities, given its resources and means. Subsequently, the evaluation does not propose specific measures for particular countries and projects. This task belongs to the operators and partners of the LDCF/SCCF system for whom the evaluation points out issues and lessons, thus acting as a catalyst in the process.

The methodology of the evaluation consists of analyzing documented information and conducting interviews. The UNDP-GEF Project Information Management System (PIMS) as well as the UNDP registry have been of particular importance. A number of interviews, mainly by telephone, have been carried out among UNDP headquarters technical staff, UNDP regional technical advisors, environmental focal points in selected UNDP country offices, government focal points in selected countries, UNFCCC Secretariat and GEF Secretariat staff. Annex II lists interviewed persons.

The countries selected for interviews were Bhutan, Cape Verde, Ecuador, Maldives, Sudan and Zambia. The intention was to select a representative sample to cover both LDCF and SCCF projects, countries in advanced stages of the cycle of operations (implementation) and those in initial stages (identification and preparation), and a balanced geographical distribution of the projects (Africa, Asia and the Pacific, Arab States, Europe and the Commonwealth of Independent States, and Latin America and Caribbean).

⁴ Complete terms of reference are in Annex I.

⁵ COWI – IIED. DANIDA Evaluation of the Least Developed Countries Fund – Inception Report. January 2009.

3. LDCF and SCCF key characteristics

A total of 71 countries are or have been engaged in various stages of NAPA/LDCF and SCCF processes. A detailed list is in Annex III.

UNDP has supported 112 processes; their distribution is indicated in Table 1 below. These numbers include all the projects that are assigned a PIMS code, regardless of their progress status. In addition to actual projects, the table also includes plans that UNDP considers initial ideas or concepts, as well as dormant projects. In geographical terms, almost half of the projects are located in Africa, followed by Asia and the Pacific. While SCCF has the largest number of projects, LDCF projects are generally at more advanced stages. Projects in the column 'NAPA' refer to enabling activities through which UNDP supports NAPA formulation processes. The so-called NAPA follow-up projects are in the column under the heading 'LDCF'. The UNDP Bureau for Development Policy is assisting the World Health Organization to design and support the implementation of a global climate change and health project.

Table 1. Distribution of LDCF, SCCF and NAPA processes supported by UNDP, March 2009⁶

	LDCF	SCCF	NAPA	Total
BDP	0	1	0	1
RBA	16	19	19	55
RBAP	7	7	11	25
RBAS	2	8	2	12
RBEC	0	7	0	7
RBLAC	1	11	0	12
Total	26	53	32	112

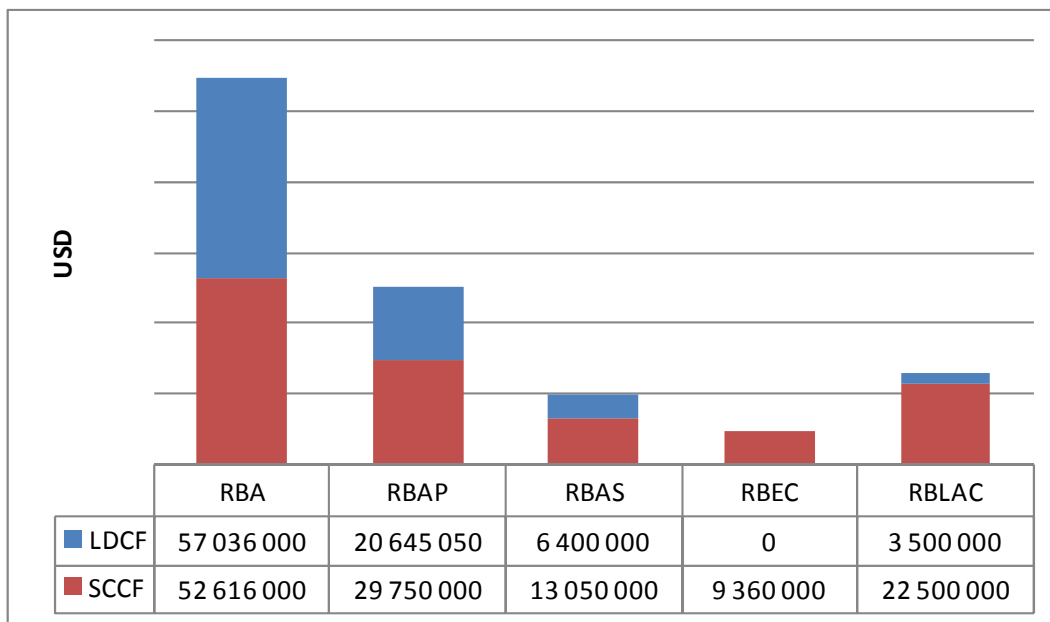
Among the GEF agencies, UNDP is by far the biggest LDCF and SCCF operator in terms of number of projects. Among the other agencies, the Asian Development Bank supports an SCCF project in Vietnam, the African Development Bank is the responsible agency of LDCF projects in Burundi and Malawi, IFAD supports the NAPA process in Sierra Leone, and the World Bank is the responsible agency for the NAPA and LDCF processes in Mozambique, Solomon Islands and Vanuatu.

The combined budgeted (not mobilized) GEF contributions to the projects supported by UNDP total \$87,581,050 for LDCF projects and \$127,276,000 for SCCF projects.⁷ Their distribution is presented in Figure 1. These figures include project ideas that were submitted but for various reasons have not progressed in the pipeline. The volume of the actual UNDP portfolio is \$61 million for LDCF projects and \$38 million for SCCF projects.

⁶ Source: PIMS and UNDP registry.

⁷ According to UNDP/GEF, the amount of the resources UNDP has mobilized or is in the process of mobilizing is \$61 million for LDCF and \$38 million for SCCF.

Figure 1. Distribution of budgeted GEF contributions in UNDP-supported projects (USD)⁸.



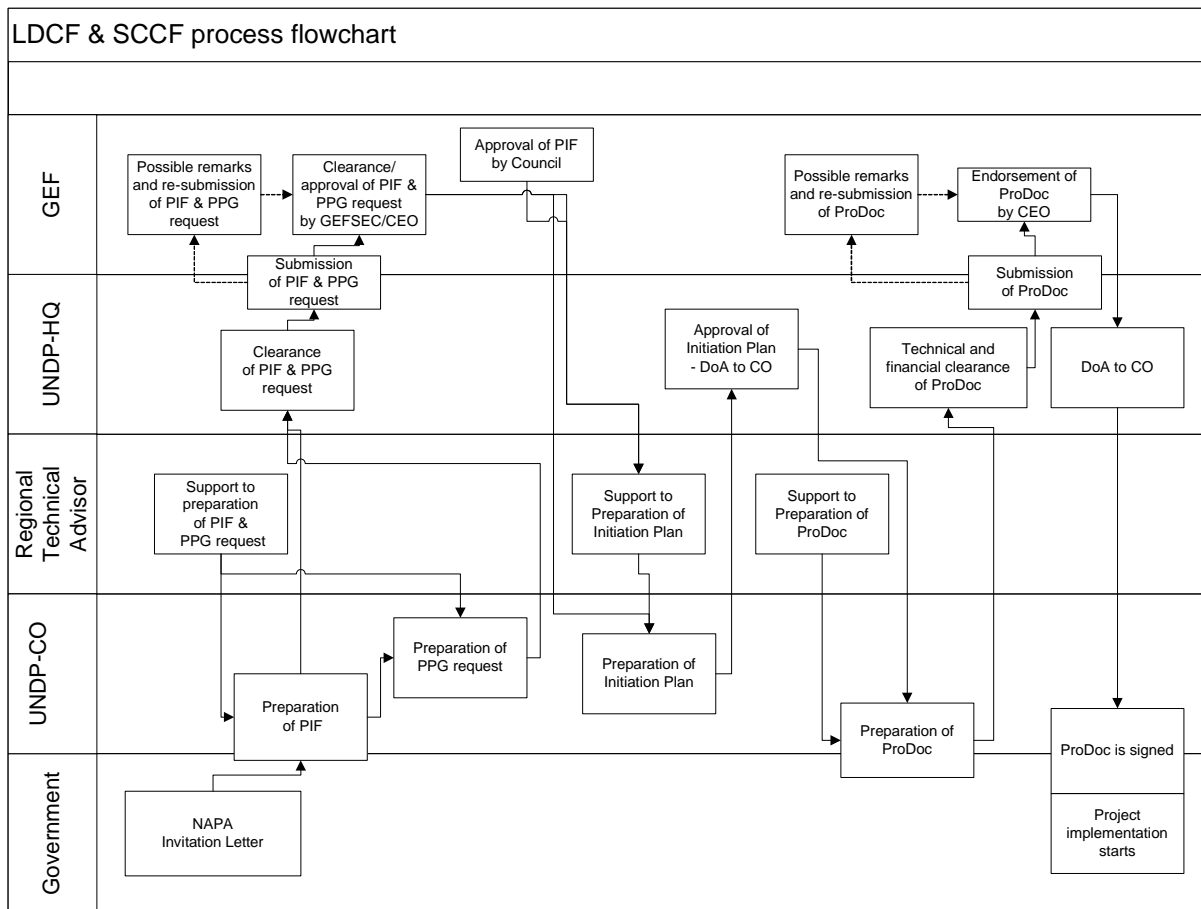
In June 2007, the GEF Council approved a revised project cycle whose application started on 1 July 2007.⁹ It is schematically presented in Figure 2 below. The completion of NAPA is a compelling condition that must precede the preparation of an LDCF project. Normally there is a voluntary letter from the government to invite a GEF agency as the partner in implementing NAPA follow-up. Based on the priorities identified in the NAPA, a Project Identification Form (PIF) describes the key elements of the project to be proposed for financing. The country office coordinates the PIF preparation and is supported in the process by the technical advisors of the UNDP Regional Service Centres. Because of the decentralized organization of the UNDP, the country offices do not interact directly with the headquarters but do it through Regional Service Centres.

The PIF is sent for clearance to the UNDP headquarters, which then submits it to the GEF Secretariat on a rolling basis. In many cases, the PIF and the request for a Project Preparation Grant (PPG) are submitted simultaneously, although in the project cycle the latter is a subsequent step to the PIF. If the GEF Secretariat has remarks on the proposed PIF and PPG request, it may require revision(s) and re-submission(s) of the documents. For full-sized projects (FSP, > \$2 million for LDCF projects and > \$1million for SCCF projects), clearance by the GEF Chief Executive Officer (CEO) is followed by GEF Council approval. The Council approves the LDCF and SCCF work plan in its two annual meetings and approves individual projects (PIFs) on a rolling basis. The latter decisions are not tied to biannual meetings but done through posting in the GEF web pages. The

⁸ Source: PIMS.

⁹ GEF Project Cycle, GEF/C.31/7, [http://www.thegef.org/uploadedfiles/GEF%20Project%20Cycle%20Policies%20and%20Procedures-Nov-08\(1\).pdf](http://www.thegef.org/uploadedfiles/GEF%20Project%20Cycle%20Policies%20and%20Procedures-Nov-08(1).pdf)

agencies may start project preparation after CEO clearance, without waiting for Council approval. For medium-sized projects (MSP, < \$2 million), the CEO approves the project. Figure 2. Process flowchart of LDCF and SCCF projects.



The PIFs are circulated to the GEF partners (agencies and the Scientific and Technical Advisory Panel). Their possible comments do not require PIF revision because this mandate belongs to the CEO alone. However, the partners’ comments may be taken into account at later stages of the cycle, e.g., when the project document is being prepared.

When a PIF and PPG are cleared and approved, the GEF Secretariat informs UNDP, which then instructs the Regional Service Centre to work together with the country office to set up Atlas accounts for the project as well as prepare an Initiation Plan (IP). The IP is a work plan for the project’s preparatory phase. Once the IP is ready, the Regional Service Centre submits it to the headquarters together with a draft Delegation of Authority (DoA), by which the headquarters can authorize the country office to start project preparation. Prior to authorization, the headquarters undertakes a technical and financial clearance of the IP.

The preparation of the project document is a common undertaking of the country office and the partner government, supported by regional technical advisors. In many cases, outside technical assistance is used. This phase culminates in the project document being submitted to the GEF Secretariat, after it has been technically and financially cleared by the headquarters. Prior to

submission to the Secretariat, the draft project document may undergo one or more iterations between the country level and the headquarters. After clearance by the GEF CEO, the headquarters sends a DoA to authorize the country office to sign the project document. In line with the decentralization policy of UNDP, this DoA is first drafted by the Regional Service Centre. Once the project document is signed by the country office and the government, project implementation can start.

There are compelling deadlines attached to stages of the project cycle. The time spent from PIF approval to CEO endorsement of the project document must not exceed 22 months for the FSP and 12 months for the MSP and EA. When a PIF, PPG or project document is submitted by UNDP to GEF Secretariat, the latter should respond within 10 working days.¹⁰

¹⁰ GEF Project Cycle, GEF/C.31/7,
[http://www.thegef.org/uploadedfiles/GEF%20Project%20Cycle%20Policies%20and%20Procedures-Nov-08\(1\).pdf](http://www.thegef.org/uploadedfiles/GEF%20Project%20Cycle%20Policies%20and%20Procedures-Nov-08(1).pdf)

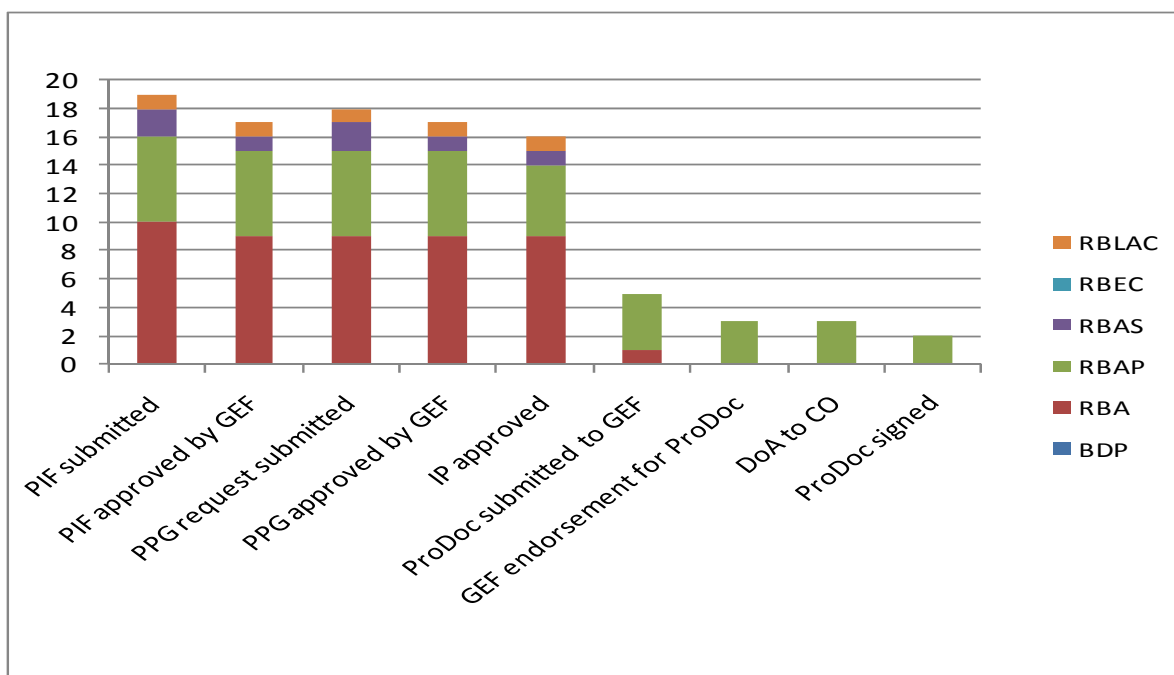
4. Analysis of performance

4.1. LDCF projects

According to the PIMS, there is or has been a NAPA/LDCF-related process supported by UNDP in 35 countries. This includes both enabling activities to support NAPA formulation as well as NAPA follow-up projects. Figure 3 presents the number of LDCF projects at different stages in the operational cycle. A total of 19 PIFs have been submitted, 17 PPG requests have been approved¹¹ and 16 DoAs have been issued by UNDP headquarters to start project preparation. Five project documents have been submitted for GEF Secretariat endorsement, and two have proceeded to the next stage, i.e., signature by the country office and the government.

The time elapsed during various stages of the LDCF project cycle is presented in Figure 4. Figures are regional averages and include significant variations between the countries. Data used for calculations are in Annex III and summarized in Table 2. To diminish the problem of data being skewed by certain countries that have taken exceptionally long (outliers), median figures are presented in addition to average durations.¹²

Figure 3. Number of UNDP-supported LDCF projects in various stages of the project cycle, March 2009¹³.



¹¹ In Yemen the PIF and PPG request have not been approved because the NAPA is not yet completed.

¹² *Average* is the arithmetic mean obtained by summing up all values and dividing the total by the number of values.

Median is the value separating the higher half of the values from the lower half. It can be found by arranging all the observations from lowest value to highest value and picking the middle one. If there is an even number of observations, the median is not unique and the mean of the two middle values is taken.

¹³ Sources: PIMS and UNDP registry.

In analyzing the duration of various project cycle stages, this evaluation uses as a starting date either the completion of the NAPA or the transmittal of the voluntary invitation letter, whichever is later. As seen in Table 2, significant time has been needed before the PIF submission. This stage is largely out of UNDP control, and it consists of awareness raising, capacity strengthening and stakeholder consultations at the country level. One must also take into account that the support to NAPA formulation and the support to NAPA follow-up are not necessarily done by the same agency. Furthermore, support to NAPA follow-up cannot take place before the NAPA is formally submitted to UNFCCC. Finally, some projects have undergone changes in project cycle procedures that caused delays.

Figure 4. Duration in working days of project cycle stages in UNDP-supported LDCF projects, March 2009. 471 working days correspond to the 22-month maximum permitted time frame for project preparation that starts at PIF approval. Source: PIMS and UNDP registry. (Data are in Table 2 and Annex III.)

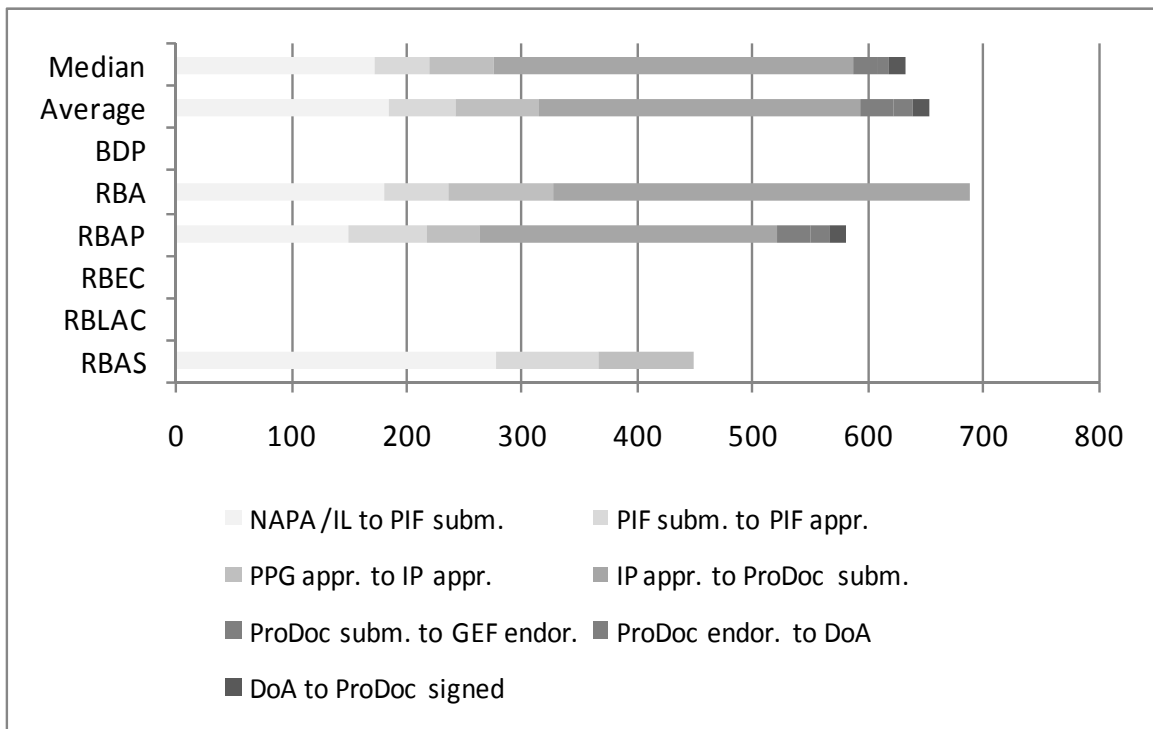


Table 2. Working days elapsed between various stages of the UNDP-operated LDCF projects (*na* = not applicable)¹⁴.

	NAPA /IL to PIF subm.	PIF subm. to PIF appr.	PPG appr. to IP appr.	IP appr. to ProDoc subm.	ProDoc subm. to GEF endor.	ProDoc endor. to DoA	DoA to ProDoc signed
BDP	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
RBA	180	56	90	362	<i>na</i>	<i>na</i>	<i>na</i>
RBAP	150	67	46	259	28	17	14
RBAS	278	89	82	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
RBEC	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
RBLAC	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
Average	184	58	72	279	28	17	14
Median	171	48	56	311	22	10	14

In most cases, PIF and PPG requests have been submitted practically simultaneously. Therefore, they have not been treated as separate and subsequent stages in this analysis. Their processing times are superposed and virtually equal in length. PIF and PPG clearances by the GEF CEO are normally issued at the same time.

The two stages requiring GEF Secretariat action—PIF/PPG request approval and project document endorsement—have averaged 59 and 28 working days, respectively. This is significantly longer than the 10 business days defined in GEF Project Cycle policies and procedures. The delay, however, does not depend solely on the GEF Secretariat. The time needed for PIF approval, for example, is calculated starting from the submission of the first PIF version. In several cases, it becomes subject to review, and one or more revised versions are re-submitted. In fact, when the final PIF was submitted, GEF CEO clearance often arrived within a few days. The step from PPG approval to approval of the IP often takes quite a long time, 72 working days on average. This stage consists of UNDP procedures and should thus be clearly in UNDP control. In addition to the preparation of the Initiation Plan, this stage includes administrative procedures such as setting up Atlas accounts, preparing the draft DoA by the Regional Service Centre and obtaining technical and financial clearance by headquarters.

Compared to other regions, in Asia and the Pacific, the LDCF project cycle has been managed in a shorter period of time. This is noteworthy because in Asia the overall duration includes the two cases in which the project document has been signed, Bhutan and Samoa. There are also three countries in which the project document has been endorsed by the CEO: Bangladesh, Bhutan and Samoa. The time between PIF approval and project document endorsement have been 577, 489 and 636 calendar days, respectively. They all fall within the 22-month time frame, with Samoa having the narrowest margin. In contrast, in Burkina Faso (324 days), Cape Verde (403 days), Eritrea (600 days), Sudan (456 days) and Tuvalu (257 days), significant time has passed from PIF approval to the present, without the project document yet being submitted.

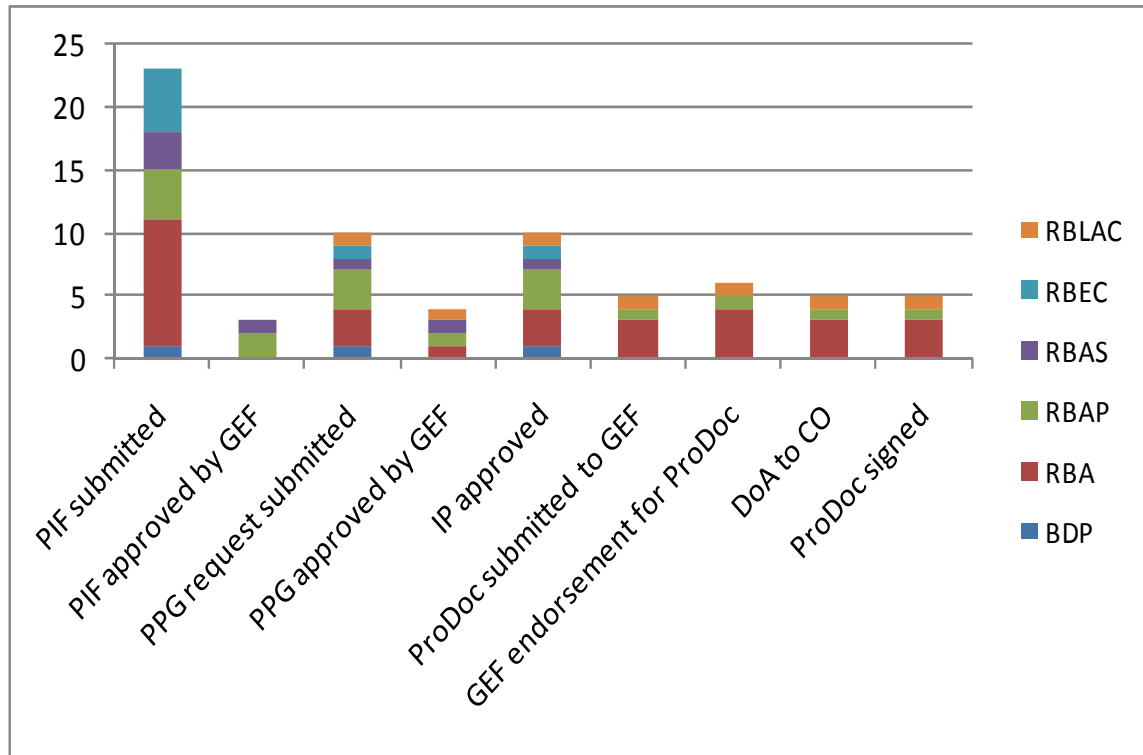
¹⁴ Sources: PIMS and UNDP registry.

4.2. SCCF projects

According to PIMS, 50 countries are involved in an SCCF process supported by UNDP. Figure 5 shows their progress during the project cycle. The numbers include all the activities and projects that have been given a PIMS code, regardless of their progress status. Thus plans are included that UNDP considers preliminary ideas and concepts, as well as dormant projects. The number of valid projects is much less. The complete country project data are in Annex III. A total of 23 countries have submitted a PIF, which means that in most countries, an SCCF project cycle has not started but has been presented as an idea or a draft concept paper. The majority of those countries that have submitted a PIF have advanced no further, mainly due to the lack of available SCCF funds.¹⁵ The funding situation may change, however, as possible new pledges materialize.

Ten countries have submitted a PPG request and have had their IPs approved. One (Bulgaria) is not eligible for SCCF funding, and three are considered ‘frozen’ (India, Maldives and the global health project). Five have completed the preparation of the project document (Ecuador, Mozambique, Samoa, Tanzania and Zimbabwe). These countries have also signed the project document.

Figure 5. Number of UNDP-supported SCCF projects in various stages of the project cycle, March 2009¹⁶.

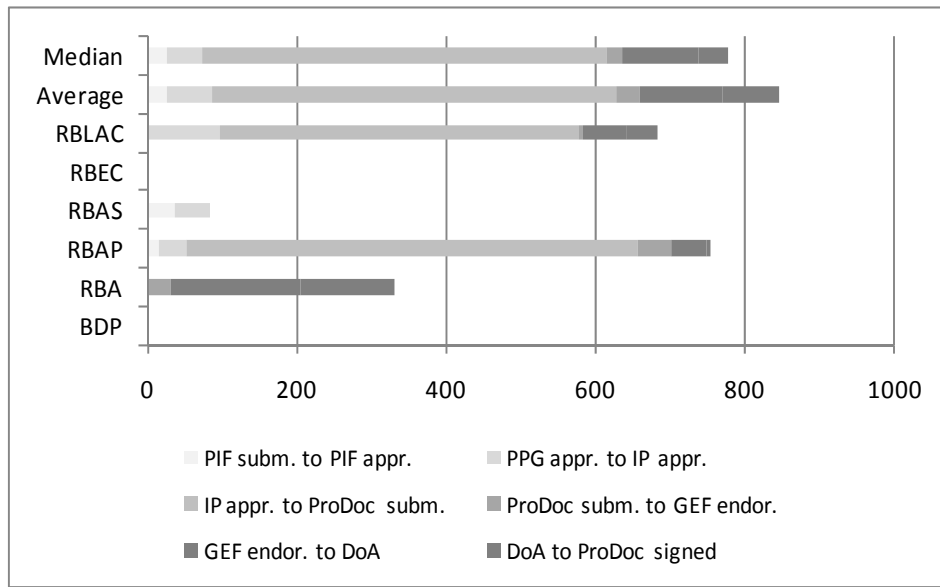


The time elapsed during the various stages of the SCCF project cycle is presented in Figure 6. Figures (Table 3) are regional averages and include significant variations between countries. (Data are in Annex III.)

¹⁵ Letter by GEF Deputy CEO, February 14, 2007.

¹⁶ Sources: PIMS and UNDP registry.

Figure 6. Duration in working days of project cycle stages in UNDP-supported SCCF projects, March 2009. 471 working days correspond to the 22-month maximum permitted time frame for project preparation that starts at PIF approval¹⁷. (Data are in Table 3 and Annex III.)



The SCCF process does not require a NAPA document, which means that the starting point of the project cycle in this analysis is the submission of a PIF or a PPG request. There are only three cases of recorded PIF approvals in the database, because most project cycles were initiated before the PIF was required. On average, approval of the PIF lasted 27 working days. As with the LDCF project cycle, the PIF and PPG requests in most cases have been submitted practically simultaneously. Therefore, they have not been treated as separate and subsequent stages in this analysis.

Table 3. Working days elapsed between various stages of the UNDP-operated LDCF projects (*na* = not applicable)¹⁸.

	PIF subm. to PIF appr.	PPG appr. to IP appr.	IP appr. to ProDoc subm.	ProDoc subm. to GEF endor.	GEF endor. to DoA	DoA to ProDoc signed
BDP	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
RBA	<i>na</i>	<i>na</i>	<i>na</i>	32	173	125
RBAP	17	36	603	47	46	6
RBAS	37	47	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
RBEC	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>	<i>na</i>
RBLAC	<i>na</i>	96	481	6	58	43
Average	27	60	542	30	113	75
Median	27	47	542	20	102	40

¹⁷ Ibid.

¹⁸ Ibid.

The database includes only four recorded PPG approvals that on average required 126 working days. The average figure is biased by the project in Egypt for which the lapse of time between submission of the request and PPG approval was 14 months, due to funding constraints in the SCCF. The long approval times probably reflect the uncertainties in SCCF funding. With the exception of Ghana, all projects that submitted a PPG request also had their IPs approved, although it took an average of 60 working days after PPG clearance.

The time elapsed between project document preparation and consecutive approvals, DoAs and project document signatures has been quite long. In the two cases for which there is a recorded PIF or PPG request submission and CEO project document endorsement, the time spent between the two steps was 801 days in Ecuador and 940 days in Samoa Pacific Adaptation to Climate Change (PACC)¹⁹. This is well above the 22-month time limit. In Ecuador, project preparation was slowed down because of institutional changes in the country and because the Chief Technical Advisor resigned. The cycle of the Samoa PACC project preparation was halted for one year because of the GEF Pacific Alliance for Sustainability (GPAS) negotiations between GEF and the Pacific Small Island Developing States (SIDS). The same negotiation process affected the LDCF projects in Samoa and Tuvalu.

4.3. Analysis based on the interviews

Most of the interviewees, from UNDP and governments alike, pointed out that the **concepts and methods of adaptation** have been a novelty to all. Much time has been invested in awareness raising and defining and explaining the principles and rules of the funding. Still, in many cases, the project cycle, its stages and related procedures are not sufficiently understood. Often the knowledge is limited to the focal points alone, which is not enough considering the multisectoral character of many projects. Several country office environmental focal points also emphasized that adaptation has been a challenge to them. For example, calculating additionality²⁰ is considered complicated. Mutual knowledge sharing was underlined in such comments as, “Do GEF and UNDP understand the government requirements?” Continuity has been a key to successful projects. For example, in Bhutan, the key persons have been the same throughout the process, which is a significant advantage.

The process and cycle of operations of LDCF and SCCF projects is a complex one and involves a number of actors from various organizations. While objective comparisons are difficult to make, it is possible that LDCF and SCCF transaction costs per dollar spent are relatively high, considering that several organizations and individuals are involved in the project cycle and that in most cases, the GEF contribution does not exceed \$3 million. There seems to be a need for streamlining and simplifying the process and related procedures and mechanisms. Such improvements can be best planned and implemented by those who are actively involved in the process. While the steps in the cycle are being conducted with high professional standards, some issues call for attention:

¹⁹ Samoa PACC is a regional project that involves the Cook Islands, Micronesia, Fiji, Nauru, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu, Marshall Islands and Palau. Its budgeted GEF contribution is 13.5 million USD.

²⁰ Additionality calculations determine the proportion of emissions reductions generated by a project that are ‘additional’ to those under a ‘business-as-usual’ scenario.

- In all steps where GEF Secretariat clearance or approval was needed, it regularly took more than 10 working days. While duration does not depend on GEF alone, these steps do add to the total time required. Do all the reviews and clearances add value to the process? Are some of the documents, for example the PIF, scrutinized too much?
- The phase between PPG approval and DoA authorization to sign the IP is mainly an internal UNDP stage but in many LDCF projects it has taken several months. The Initiation Plan itself is a brief document, and its preparation should not be too difficult. UNDP should try to find ways to shorten this stage.
- During the several stages of the cycle, there are documents whose essential contents have already been produced at some previous stage. Much copy-and-paste work is done. How could document preparation requirements be improved and simplified in order to avoid duplication?
- Many actors said that at some point during the process there is a ‘black box’, a stage at which they don’t know exactly what is happening, how long it will take, and what the outcome will be. At the country level, this might be the stage when documents are being reviewed and cleared at the headquarters, and at the GEF Secretariat this might occur when things are being prepared in the country. Can this result in a situation where nobody really controls the big picture? Is information being sufficiently disseminated to all pertinent parties?

Each stage should be looked at from the point of view of the **value it adds** to the entire process. Sometimes the persons at regional and country levels don’t understand the point of technical reviews and related questions by the headquarters. Some country office environment focal points see them as a waste of time and effort. At the same, the ‘fresh and outside’ look from the headquarters is often appreciated, as it helps bring attention to aspects that could have been omitted. The support by the regional technical advisors was valued by all country offices and several governments.

Some governments were critical about the role of the country offices in the process. They saw that the country office does not have adequate technical capacity but relies on the regional technical advisors and outside technical assistance. Within UNDP, there is a perception that the value added by country offices varies significantly from one office to the other. On the other hand, it is acknowledged that country office environment focal points have a remarkable workload and adaptation is only one part of their duties. As a ‘newcomer’, climate change adaptation may have had a lesser share of attention in some country offices. Consequently, strengthening the capacity at the country office level is a significant issue.

There is a general consensus that LDCF and SCCF **projects comply with the project selection criteria** and are compatible with NAPA objectives. Nevertheless, formulating tangible priority projects on the basis of NAPA proposals has been a laborious process in many cases. Several NAPAs are broad and cover a wide range of ideas. This is largely due to the holistic nature of climate change and adaptation but also because it has been difficult to set clear priorities in some NAPA processes. This, among other things, may also explain why the time between NAPA completion and submission of a PIF has been relatively long.

The interview parties pointed out a number of **bottlenecks and challenges**:

- Due to the many stakeholders and consultations involved, it takes time and effort to advance from the very numerous activities in NAPAs to a few feasible project ideas. (Mentioned by regional technical advisor)
- In some cases, the work between government institutions has been complicated. Involvement of many ministries and agencies has taken time and sometimes led to milestone extensions. (country office)
- The preparatory phase requires a lot of work (consultations, analysis, stakeholder meetings, etc.) which in turn, consumes most of the time in the project cycle. This is very demanding in unique and changing situations. (country office)
- Sometimes, there is an inadequate match between NAPA and the proposed follow-up. (country office)
- Some NAPAs were not well done, and the countries took a long time to get projects out of them. (UNDP)
- UNDP contracting and recruitment procedures are complicated and don't take into account country specificities. (government)
- GEF requirements and project criteria are complicated and that has caused delays in initial stages of the project cycle. (country office)
- The start-up phase took time because work with climate change and adaptation was new to everybody. This has been a learning process for all. (country office)
- Country office environment focal point capacity is limited; sometimes adequate technical background is lacking. (government and UNDP)
- For some governments, the co-financing has been a challenge. They want to have direct access to resources, which is not possible under the current LDCF system. (government)
- In some countries, there has been institutional instability and/or restructuring. (regional technical advisor)
- In some countries, logistical conditions are a particular challenge during participatory stakeholder consultations. (country office and government)
- Some countries find the process slow and long because of all the reviews and clearances. When too much time is needed, the government may lose interest in working together with UNDP and then implement the project with other partners. However, once the project is approved, it becomes as easy as any other project. (country office)

While different actors brought up different kinds of bottlenecks, the majority of them were surprisingly similar, regardless of one's position in the LDCF and SCCF structure. There was very little criticism towards the performance of UNDP headquarters or the regional technical advisors. In two government interviews, the message was similar to the criticism expressed in COP 14.

In spite of the number of challenges, several actors underlined that they had not experienced any particular bottlenecks in their LDCF processes. This message came from various levels, UNDP and government alike. Most of the interviewees think that LDCF or SCCF projects are not more complicated than any other GEF-funded projects. If there are delays, it is because they are inherent to the system. In seeking a solution, simplifying and redefining each stage could be considered. This would mean 'thinking outside the box' but it may be constrained by capacity issues, mostly at the country level.

Most actors found the **project designs relevant and feasible**. It is important to invest time and effort during the identification and preparatory phase. If these stages are adequately carried out, the

rest of the project cycle is fairly straightforward. The challenge is to create focused projects because budgets are small and the involvement of many institutions tends to spread them out, which may reduce the project impact.

Capacity gaps as well as challenges in the support required and received at various levels appeared to be key issues. Many interviewees think that the most serious capacity problems are at the government level. Furthermore, the multiple tasks of the country office environment focal points pose a challenge. This is exacerbated by the fact that the volume of environmental and climate change portfolios is increasing. Some interviewees cited capacity limitations in country offices and Regional Service Centres. The regional technical advisors are qualified experts but their time is divided between many countries, and some country offices may feel that they do not get the necessary support. According to the PIMS, the regional technical advisor in Asia and the Pacific is responsible for 22 projects; the regional technical advisor in Eastern and Southern Africa, 15 projects; the regional technical advisor in Europe and the Commonwealth of Independent States and the Arab States, 16 projects; and the regional technical advisor in Western Africa, 21 projects. Some country offices concluded that regional technical advisors have helped strengthen their capacity, e.g., in Samoa. In addition to the support provided by the regional technical advisors, inputs by LDC Expert Groups have also been appreciated, e.g., in Bhutan.

The use of contracted **technical assistance** has resulted in varying experiences. In some cases, technical assistance is being used at virtually every project stage and has become a critical factor in the whole process. In some countries, it has been difficult to find available and qualified consultants, which may have slowed down the entire process (e.g., in Cape Verde). One government representative expressed outright dissatisfaction with the quality of the technical assistance. Several governments expressed the wish that LDCF and SCCF project concepts should include explicit capacity development components.

In general terms, the **communication** between the different actors of the LDCF and SCCF project cycle is deemed to be effective, largely due to the frequent use of informal and direct channels, such as e-mail and telephone. Formal reporting, including project quarterly reports and PIR, seem to have much less relevance to the interviewees. Virtually all of them think that communication works well at country and regional levels, although the workload of the environment focal points takes its toll in this area, too. In all cases, communication between the country office and the government was reported to be satisfactory. In logistically demanding countries, such as Sudan, communication within the country can be a challenge. Some regional and country-level actors perceive that communication is not always optimal between UNDP headquarters and the GEF Secretariat, but the latter themselves find each other accessible and responsive.

According to the UNFCCC Secretariat, reporting by GEF gives a good overview of LDCF and SCCF progress. There is, however, a challenge in obtaining quick and relevant information from the country level and particular projects. In some cases, the country offices and governments apparently are not fully aware of the rules and criteria of the funding mechanisms. According to the Secretariat, a more structured dialogue between the stakeholders could help to solve these challenges.

Several country offices hoped that more horizontal learning could be arranged. The regional technical advisors valued the annual advisor meetings, although mutual exchange of experiences between regions, using existing networks, for example, could be more effectively exploited. According to some government representatives, inter-institutional communication is not always adequate in the countries themselves.

Sometimes responses to re-submitted documents don't come as promptly as the sender would like. Some interviewees mentioned a 'black box', without being able to put a finger on any exact point of the process. Country office environment focal points see communication with the regional technical advisors as being quite frequent whereas the regional technical advisors think it is sometimes difficult to contact the environment focal points.

Most actors find the **approval processes** adequate but some think they are not sufficiently aware of how decisions are made: by whom, on what criteria, and in what time frame. They do not always know when to expect a decision. Some country offices perceive that decisions, such as DoAs, take an excessively long time, and they don't always see the point of additional clarifications that are required from them. The opposite also occurs: the Maldives government focal point found the LDCF approval surprisingly fast. Getting used to the new system introduced by GEF Secretariat in July 2007 was somewhat complicated. The importance of careful groundwork was emphasized by some, who claimed that a well-designed PIF leads to a smooth project.

The **overall perception of UNDP performance** in LDCF and SCCF management is relatively positive, although negative perceptions exist. When compared with other GEF agencies, UNDP is seen to perform at least equally well. The GEF Secretariat finds UNDP responsive but suggests it should focus more on moving cleared projects forward rather than proposing new ones. Continuity, confidence and knowledge of country conditions are critical elements for adequate performance. Many governments value the UNDP role, particularly its communication and technical support, but hope that the bottlenecks described previously can be addressed and resolved.

5. Issues, lessons and recommendations

5.1. General conclusions

In light of the information obtained in this evaluation, certain overarching conclusions can be drawn. On the basis thereof, the criticism expressed by LDCs can be seen as a combination of several issues.

First, there is a genuine frustration because of the long time and the amount of work needed before NAPAs can be converted into tangible and relevant projects. Some countries have dedicated several years to the process, and they still don't have the NAPA follow-up project operating. Regardless of who is to be blamed, all actors should work together to make things move faster and more efficiently. The evaluation points out certain stages in the project cycle where efficiency gains are likely to be obtained. Capacity gaps at country level, on both UNDP and government sides, call for particular attention. The partners could set up a task force to rethink the current mechanisms and procedures and propose subsequent modifications.

Second, there are different expectations among the parties involved. Two extremes came up in the interviews. On the one hand, some countries may have thought that as soon as the NAPA is completed resources for the follow-up activities would be made available. On the other hand, from the GEF agency's point of view, the NAPA may have looked like an all-encompassing wish list where real priorities are hardly defined, leaving the entire project identification and preparation yet to be done. While most actors asserted that the rules of funding are known, working to inform larger stakeholder audiences may be a good investment.

Third, some countries question the entire governance structure of the LDCF and SCCF. Against the backdrop of the processes to enhance global aid effectiveness, they are keen to look at and propose ways in which donor contributions could be channelled directly to countries' financial management systems, without GEF and UNDP involvement. Some countries feel they don't have direct access to LDCF resources and thus no real ownership of the LDCF process. This point was made clearly in two out of six government interviews. The scope of this evaluation does not permit any judgment on this issue because it is not a matter of operational efficiency but a fundamental policy choice. Efficiency, however, is not disconnected from the basic LDCF and SCCF architecture. The higher the transaction costs are, the more likely the issue will be on the agenda.

5.2. Issues and lessons

In the course of the interviews and analysis, a number of issues were identified. They can be used as entry points and elements in rethinking the LDCF and SCCF processes, should the relevant authorities decide to embark on such an undertaking. Rather than ready-made solutions, they should be considered as raw material and food for thought, to be refined by the operators of the system.

- The difficulty is not project document preparation itself but getting the government fully on board, that is, not only the Ministry of Environment and the project proponents but all pertinent government institutions.
- There is a sizeable difference between a 12- and 22-month project cycle limit, although the workloads in MSP and FSP are not very different.
- When the project cycle procedures require reviewing a document, one should think about the costs of possible changes. Do the benefits of the change justify the costs?

- Incentives could be sought to include people who have been involved in the process from the beginning, so that institutional memory remains.
- In some countries, the perceived lack of ownership of LDCF processes is a challenge that may influence government commitment.
- Climate change and adaptation have been new undertakings for agencies, countries and technical assistance groups alike. Some technical advisors believe that GEF project criteria are too heavy a burden relative to countries' project preparation capacity.
- Because of the freezing of SCCF funding, the process has been on hold for several years. Subsequently, PIFs made previously may become obsolete and need to be redefined, should new funding become available.
- Qualified consultants have not always been easy to identify (for example, in Haiti and Cape Verde), which may have slowed down processes in some countries. LDC Expert Group expertise has been useful in some countries, for example, in Bhutan.

5.3. Recommendations

Most recommendations of the evaluation concern several organizations and actors, at various levels. As a part of the multi-partner assessment, proposed in the first recommendation, the partners should define which actors are involved and which need to take action.

- An overall streamlining of the LDCF and SCCF processes needs to be considered. The steps and related procedures of the project cycle should be critically assessed against the criterion of added value. A multi-partner assessment can be utilized for this purpose. Copy-and-paste work should be reduced, e.g., within the country office endorsement for the project document when it is being submitted for GEF Secretariat endorsement.
- Possibilities to combine PIF and PPG into a single project stage, subject to one approval process, should be considered.
- UNDP needs to expedite the step from PPG approval to IP approval. Opportunities should be identified to streamline administrative procedures and make them more flexible.
- To the extent possible, stakeholder and beneficiary consultations of a project should be carried out during the implementation stage. Otherwise, repetitive and laborious events may frustrate beneficiary communities if their linkages to the foreseen benefits are blurred because of long project cycle. Carrying them out in the implementation stage would naturally require sufficient orientation flexibility in the project design.
- Needs for capacity development in climate change and adaptation at various levels should be assessed and consecutive strengthening measures should be taken. UNDP and country office capacity issues should be reviewed and addressed at the appropriate (high) level.
- In some cases, LDCs' capacities may have been overestimated and too ambitious projects plans may have resulted. Efforts need to be made to develop and strengthen respective capacities.
- More efforts must be made to explain the principles and rules of the LDCF and SCCF processes to a wider stakeholder audience. Training is needed in mechanisms and procedures of the project cycle. The current experiences should be fully systematized and exploited.
- GEF and UNDP are pioneers in the field of climate change and adaptation. They should systematically harvest the lessons learned from the LDCF and SCCF processes. These organizations have invested in the learning process and should capitalize on what they have learned.

- GEF and UNDP should contemplate what the aid effectiveness process and its principles represent to the LDCF and SCCF mechanisms and what changes they may imply to the respective systems.

Annex I: Terms of Reference

1. Background

UNDP is the UN's global development network. UNDP recognizes that climate change is a threat to development, and it has a climate change strategy. The UNDP's strategic plan, 2008-11 includes a pillar specifically for climate change adaptation. The Evaluation of the Role and Contribution of UNDP in Environment and Energy (2008) further recommends that UNDP prioritizes adaptation as part of its core business.

Through UNDP, financial resources for adaptation are beginning to flow from the GEF Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF) and bilateral sources. Of the two GEF-managed funds, the LDCF is the more visible. In the UN Framework Convention on Climate Change (UNFCCC) COP 14 in Poznan (2008), many countries complained about project cycle bottlenecks. To date, only one project is under implementation in Bhutan, despite the fact that the LDCF was created in 2001 as part of the Marrakech Accords.

Since the LDCF was established to expedite financing to the Least Developed Countries (LDCs), the time taken to implement adaptation projects is an issue of serious concern. Under the fund, the National Adaptation Programmes of Action (NAPAs) were the first enabling activity projects to be set up. They provide a process for the LDCs to identify, communicate and prioritize their most urgent and immediate adaptation needs. Once a NAPA is submitted, the LDC may access additional resources for priority adaptation projects, according to the guidelines of Decision 28/CP.7.

UNDP is the lead agency providing support to LDCs for accessing the LDCF. It has assisted 29 countries to prepare their respective NAPAs, as well as support to the development of 18 projects addressing the urgent and immediate adaptation needs as identified by their respective national NAPA (see Annex 2).

In addition, UNDP is currently programming approximately 42% of currently available SCCF resources. This reflects 50% of the total number of countries who are receiving SCCF resources through any agency (World Bank, UNEP, and IFAD). Moreover, UNDP accounts for 73% of the total requested SCCF resources in the current GEF pipeline of projects awaiting funding.²¹

A separate external evaluation of the LDCF programme is also being carried out by the Danish Government and the GEF Evaluation Office. This LDCF evaluation will be broader in scope than the present internal UNDP evaluation; it will include country visits and will be completed by June 2009. The GEF Evaluation Office is also carrying out a separate evaluation for the GEF's Strategic Priority for Adaptation under OPS 4. The findings of this internal evaluation will be relevant to support external evaluations of the LDCF noted above.

2. Objective

Given the dissatisfaction expressed by the LDCs in Poznan and elsewhere, the purpose of this internal independent evaluation is to review the performance of UNDP in supporting countries with

²¹ GEF/LDCF.SCCF.5/Inf.3, October 21, 2008

accessing resources from the LDCF/SCCF, to identify issues and lessons, and make recommendations for improvement. Specific issues to be examined include, but are not limited to:

- Project cycle issues such as clarity of processes, speed of delivery, efficiency, value added;
- Quality, timeliness and efficiency of technical and managerial support;
- Quality of project design and implementation;
- Adequacy, effectiveness and quality of reporting and reporting arrangements;
- Effectiveness and timeliness of communication between the various parties: government agencies, UNFCCC focal points, GEF Operational and Political Focal Points, UNDP country offices, regional technical advisors, headquarters technical advisors, GEF Secretariat.

3. Approach and Methodology

The evaluation will be headquarters-based and will focus on a thorough review of documents and timelines, as well as interviews with staff from UNDP, partner organizations and participating countries. The main actions will include the following:

- Review of concerns expressed by external and internal parties;
- Review of relevant documentation such as the Project Registry at UNDP headquarters, Project Initiation Forms (PIF)/Project Preparatory Grant Documents (PPG), project documents, workshop reports (including those produced by UNDP, UNEP and World Bank as well as others), registry data (including PIMS and email threads) and other relevant sources;
- Telephone interviews and other communications with UNDP regional technical advisors, UNDP country office staff, and the staff at UNDP headquarters, GEF Secretariat, and UNFCCC;
- Telephone interviews and other communications with government focal points – project, UNFCCC, and GEF (political and operational).

4. Deliverables and Timeline

The main deliverable will be a final evaluation report, which includes an executive summary and data annexes that assess the performance of UNDP with respect to its support of the LDCs in accessing funds from LDCF and SCCF, identifies lessons for the future, and makes specific recommendations for improving this support. A secondary deliverable will be a PowerPoint summary of the report and its recommendations.

The following table outlines the timeline:

Date	Deliverable
13 February 2009	Work plan and methodology
13 March 2009	Draft report for review and discussion
20 March 2009	Final report, executive summary and PowerPoint presentation

5. Management Arrangements

An external independent consultant will be engaged by the UNDP Evaluation Office to undertake the assignment. The length of the consultancy will be 20 working days. The assignment will include

consultations in New York. The consultant will report directly and be accountable to the Task Manager in the Evaluation Office.

6. Qualifications

- Advanced university degree in environment, economics, geography or other relevant discipline;
- 10-15 years of professional experience in programme and institutional evaluation and other relevant development management fields;
- Fluency in English, both in oral and written. Additional language skills, in particular French and/or Spanish, are advantageous;
- Working experience with UNDP and GEF is an advantage.

Annex II: People Consulted

Government Representatives – Focal Points

Bhutan

Mr. Dowchu Dukpa, NAPA Manager, Department of Geology and Mines

Cape Verde

Mr. Francisco Correia, National NAPA Coordinator

Ecuador

Mr. Diego Collina, Director of Climate Change, Ministry of Environment

Maldives

Mr. Amjad Abdulla, Director General, Ministry of Housing, Transport and Environment

Sudan

Mr. Mutasim Nimir, National NAPA Coordinator

Zambia

Mr. Kenneth Nkowan, Director of Environment and Natural Resources Management at the
Ministry of Tourism, Environment and Natural Resources

UN Framework Convention on Climate Change Secretariat

Mr. Paul V. Desanker, Team Leader, Least Developed Countries

Mr. Youssef Nassef, Manager, Adaptation Sub-Programme

Global Environment Facility Secretariat

Ms. Bonizella Biagini, Cluster Coordinator and Senior Programme Manager, Adaptation to Climate
Change

Mr. Lars Christiansen, Programme Officer in Climate Change Adaptation

UNDP

Energy and Environment Group, Bureau for Development Policy

Ms. Margarita Arguelles, Programme Associate

Mr. John Hough, GEF Deputy Executive Coordinator

Mr. Pradeep Kurukulasuriya, Technical Advisor for Adaptation

Ms. Bo Lim, Principal Technical Advisor for Adaptation
Ms. Maria Netto, Climate Change Advisor
Ms. Veronique Whalen, Strategic Planning Associate

Regional Technical Advisors

Ms. Paula Caballero, Regional Advisor for Adaptation, Latin America
Ms. Keti Chachibaia, Regional Advisor for Adaptation, Central and Eastern Europe and Arab States
Mr. Lyes Ferroukhi, Regional Technical Advisor, Caribbean
Mr. Gernot Laganda, Regional Advisor for Adaptation, Asia and the Pacific
Ms. Jessica Troni, Regional Technical Advisor for Adaptation, Southern and Eastern Africa
Mr. Tom Twining-Ward, Regional Technical Advisor for Adaptation, Western and Central Africa

Country Offices – Environmental Focal Points

Mr. Thomas Bagan, Benin
Ms. Cecilia Falconí, Ecuador
Ms. Easter Galuvao, Samoa
Mr. Mohamed Inaz, Maldives
Mr. José Levy, Cape Verde
Ms. Winnie Musonda, Zambia
Ms. Hanan Mutwakil, Sudan
Mr. Karma Raptan, Bhutan

ANNEX III: Least Developed Country Fund and Special Climate Change Fund projects

Country	Region / Agency	NAPA completed	Source of funding	PIMS	Project Title	Regional Coordinator	UNDP/GEF Task Manager	GEF Budget	Invitation letter sent	PIF submitted	PIF approved by GEF	PPG request submitted	PPG approved by GEF	IP approved	ProDoc submitted to GEF	GEF endorsement for ProDoc	DOA to CO	ProDoc signed
Bangladesh	RBAP	1.11.05	LDCF	2847	NAPA	Laganda	Islam	200,000										
Bangladesh	RBAP		LDCF	3873	NAPA Follow-up	Laganda	Bo Lim	3,400,000	19.1.06	27.10.06	3.5.07	27.6.07	25.7.07	30.8.07	10.12.08	10.12.08	22.1.09	
Benin	RBA	1.1.08	LDCF	2786	NAPA Benin - LDCF-	?	?		5.7.02									
Benin	RBA		LDCF	4047	NAPA Follow-up	Twining-Ward	Pradeep	3,000,000	16.7.07	11.6.08	10.9.08	11.6.08	10.9.08	15.1.09				
Bhutan	RBAP	1.5.06	LDCF	2739	NAPA	Laganda	Giri	200,000										
Bhutan	RBAP		LDCF	3722	NAPA Follow-up	Laganda	Bo Lim	3,445,050	22.12.05	26.10.06	27.10.06	24.7.06	10.11.06	29.11.06	6.2.08	6.3.08	19.3.08	8.4.08
Burkina Faso	RBA	1.12.07	LDCF	2705	NAPA Strengthening Adaptation Capacities -	Drunet		200,000	16.5.02									
Burkina Faso	RBA		LDCF	3978	LDCF	Twining-Ward	Pradeep	3,000,000	5.12.07	11.4.08	1.5.08	11.4.08	8.5.08	16.7.08	27.2.09			
Burundi	RBA	1.2.07	LDCF	2768	NAPA Climate Forecast CB for Early Warning	Drunet	Twining-Ward	200,000	23.4.07									
Burundi	AfDB		LDCF	3988		Twining-Ward	Pradeep	3,000,000	23.4.07	2.5.08	10.6.08							
Cambodia	RBAP	1.3.07	LDCF	2740	NAPA Cambodia Adaptation to CC	?	?	200,000										
Cambodia	RBAP		LDCF	3867		Laganda	Bo Lim	500,000	25.4.07	21.5.07	19.12.07	24.7.07	14.1.08	28.4.08	9.2.09			
Cape Verde	RBA	1.12.07	LDCF	2770	NAPA	Drunet	Twining-Ward	200,000	10.4.07									
Cape Verde	RBA		LDCF	4091	NAPA Follow-up - LDCF Adaptation	Issler	Twining-Ward	3,880,000	29.3.07	27.12.07	12.2.08	27.12.07	9.4.08	2.2.09				
Chad	RBA	fs. 12-2008	LDCF	2706	NAPA	Drunet	Twining-Ward	200,000										

Chad	RBA		LDCF	4086	NAPA Follow-up - LDCF Adaptation	Twining-Ward	Pradeep	4,000,000	12.11.07					
Congo DR	RBA	1.9.06	LDCF	2771	NAPA DRC LDCF	Drunet	Twining-Ward	200,000	2.8.07					
Congo DR	RBA		LDCF	4045	NAPA Follow-up	Twining-Ward	Pradeep	3,000,000	2.8.07	11.7.08	1.10.08	11.7.08	1.10.08	17.3.09
Eritrea	RBA	1.5.07	LDCF	2707	not in PIMS Eritrea NAPA Follow-up	?	?	3,006,000						
Eritrea	RBA		LDCF	3950	Eritrea NAPA Follow-up	Troni	?	0	29.3.07	5.6.07	25.7.07	9.7.07	25.7.07	16.8.07
Ethiopia	RBA	1.6.07	LDCF	2774	NAPA	Troni	Salau	200,000	9.7.02					
Ethiopia	RBA		LDCF	4107	NAPA Follow-up	Troni	Troni	4,100,000						
Guinea	RBA	1.7.07	LDCF	2796	NAPA	Lebot	Alers	200,000	23.7.02					
Guinea	RBA		LDCF	4023	Guinea LDCF - Coastal Zone Adaptation	Twining-Ward	Pradeep	3,000,000	28.11.07	11.6.08	29.10.08	11.6.08	29.10.08	17.3.09
Guinea-Bissau	RBA	1.2.08	LDCF	2795	NAPA	Drunet	Twining-Ward	200,000	4.7.02					
Guinea-Bissau	RBA		LDCF	3977	NAPA Follow-up	Issler	Twining-Ward	2,000,000	20.3.07					
Haiti	RBLAC	1.12.06	LDCF	3971	Strengthening adaptive capacities	Ferroukhi	Ferroukhi	3,500,000	15.5.07	4.8.08	18.8.08	4.8.08	18.8.08	6.10.08
Kiribati	RBAP	1.1.07	LDCF	2799	NAPA	Laganda	?	200,000	7.5.02					
LaoPDR	RBAP	fs. 12-2008	LDCF	2741	NAPA	Laganda	?	200,000						
LaoPDR	RBAP		LDCF	3868	NAPA Follow-up	Laganda	Bo Lim	3,000,000						
Malawi	AfDB	1.3.06	LDCF	2699	NAPA	Salau	Salau	200,000	5.5.02					
Maldives	RBAP	1.3.08	LDCF	2745	NAPA	Laganda	?	200,000						
Maldives	RBAP		LDCF	4093	NAPA Follow-up	Laganda	?	3,000,000	24.1.08	25.11.08	19.2.09	25.11.08	12.3.09	
Mali	RBA	1.12.07	LDCF	2709	NAPA	Drunet	Twining-Ward	200,000						
Mali	RBA		LDCF	4046	Mali LDCF - NAPA Follow-up	Twining-Ward	Pradeep	3,000,000	14.4.07	9.9.08	12.1.09	6.8.08	12.1.09	19.3.09
Mozambique	RBA	1.7.08	LDCF	2698	NAPA	Krause	Krause	200,000	25.4.02					
Mozambique	WB		LDCF	4069	Mozambique NAPA Follow-up	Troni	Troni	100,000	5.10.07					

Nepal	RBAP	fs. 2009	LDCF	3958	NAPA	Laganda	Bo Lim	200,000	5.1.07									
Niger	RBA	1.7.06	LDCF	2782	NAPA	Drunet	Twining-Ward	200,000	22.7.02									
Niger	RBA		LDCF	3826	NAPA Follow-up projecty in Niger	Twining-Ward	Pradeep	3,000,000	22.5.06	19.3.07	3.5.07	27.6.07	7.8.07	14.9.07	2.2.09			
Samoa	RBAP	1.12.05	LDCF	2735	NAPA Samoa LDCF-Implementation	Soriano	?	500,000										
Samoa	RBAP		LDCF	3940		Mackay	?	2,000,000	23.5.06	13.4.07	3.5.07	31.8.07	19.12.07	6.3.08	17.11.08	9.2.09	18.2.09	8.3.09
Sierra Leone	IFAD	1.7.08	LDCF	2783	NAPA	?	?	200,000	14.8.04									
Solomon Islands	WB	1.12.08	LDCF	3482	NAPA	Laganda	Tuhanuku	200,000										
Sudan	RBAS	1.7.07	LDCF	2846	NAPA	Chachibaia	Simonet	200,000										
Sudan	RBAS		LDCF	3925	NAPA Follow-up Water Resource Management	Chachibaia	Chachibaia	3,000,000	7.6.06	17.8.07	19.12.07	14.8.07	19.12.07	10.4.08				
Tanzania	RBA		LDCF	3899		Troni	?	4,000,000										
Tanzania	RBA	1.9.07	LDCF		NAPA	?	?											
Timor	RBAP	fs. 2009	LDCF	4017	NAPA	?	?		4.6.07									
Togo	RBA	fs. 12-2008	LDCF	2784	NAPA	Drunet	Twining-Ward	200,000										
Togo	RBA		LDCF	4087	NAPA Follow-up - LDCF Adaptation	Twining-Ward	Pradeep	4,000,000										
Togo	RBA		LDCF	4156	Togo NAPA Follow-up	Twining-Ward	Pradeep	4,000,000										
Tuvalu	RBAP	1.5.07	LDCF	2865	NAPA	Soriano	Sharma	200,000										
Tuvalu	RBAP		LDCF	4163	NAPA Increasing Resilience to Climate Change Drylands adaptation for agropastoralists	Laganda	Pradeep	3,000,000	1.8.07	21.5.08	8.7.08	21.5.08	8.7.08	22.9.08				
Uganda	RBA	1.12.07	LDCF	3897		Troni	?	4,000,000										
Uganda	RBA	1.12.07	LDCF		NAPA	?	?											
Vanuatu	RBAP	1.12.07	LDCF	2797	NAPA	Laganda	Verevukivuki	200,000	20.11.02									
Vanuatu	WB		LDCF	4162	NAPA Agriculture Food Security	Laganda	?	2,000,000		28.9.07								

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Yemen	RBAS	fs. 4-2009	LDCF	2844	NAPA	Chachibaia	Chachibaia	200,000						
					NAPA Follow-up			3,000,00						
Yemen	RBAS		LDCF	3924		Chachibaia	Chachibaia	0	15.4.06	11.4.08		11.4.08		
Zambia	RBA	1.10.07	LDCF	2712	NAPA	Salau	Salau	200,000	17.5.02					
					Zambia NAPA			3,450,00						
Zambia	RBA		LDCF	3942	Follow-up	Troni	Troni	0	13.2.07	2.5.08	8.8.08	2.5.08	8.8.08	18.2.09
					Regional									
					Coping with									
					Drought									
Zimbabwe	RBA		SCCF	4237	Project	Troni	Troni	1,000,00						
								0						