IKI-Projektevaluierungsbericht Nr. P-004N

Nachevaluierung

Ecosystem Based Adaptation in Mountain Ecosystems

Nachevaluiert durch Jan Jasper Lauert, Gutachter, im Auftrag der GFA Consulting Group GmbH

Eine Nachevaluierung des vorliegenden Projektes war notwendig, da der Evaluierungsbericht nicht den Vorgaben der Methodologie der IKI für Einzelprojektevaluierungen entsprach. Die Anwendung der gleichen Methodologie soll die Vergleichbarkeit der IKI-Einzelprojektevaluierungsberichte für die Erstellung übergeordneter Auswertungen wie Syntheseauswertungen.

Dr. Revocatus Twinomuhangi, Ms. Clemencia Vela (2017) “Terminal Evaluation of the UN Environment Project “Ecosystem Based Adaptation for Mountain Ecosystems (Nepal, Peru and Uganda)” on behalf of the Evaluation Office of UNEP. May 2017.

Die in dem IKI-Projektevaluierungsbericht vertretenen Auffassungen sind die Meinung des unabhängigen Gutachters und entsprechen nicht notwendigerweise der des BMU, der ZUG gGmbH, des Programmbüros der IKI oder der GFA Consulting Group GmbH.

Ansprechpartner:

Evaluierungsmanagement der Internationalen Klimaschutzinitiative (IKI) – im Auftrag des BMU
GFA Consulting Group GmbH
Internationales Handelszentrum (IHZ) Büro 4.22
Friedrichstr. 95
10117 Berlin

E-mail: info@iki-eval-management.de

SUMMARY

Project number		12_II+_012_Global_M_EbA Mountain Flagship (previously: 10_II_109_Global_A_EbAs in Mountain Regions)	
Project name		Ecosystem Based Adaptation in Mountain Ecosystems	
Country of implementation		Nepal, Peru, Uganda	
Implementing agency	UNEP	**Project partner**	UNDP, IUCN
Project start		**Project end**	
planned	06/2010	*Planned*	12/2014
real	06/2010	*real*	06/2016
Project IKI budget		**Project budget from non-IKI sources**	
planned	10,000,000€	*planned*	n.a.€
real	11,500,000€	*real*	n.a.€

Climate change impacts are affecting the functioning and integrity of several ecosystems and are adding to the stress resulting from other anthropogenic interventions such as unsustainable land use practices. The programme (hereafter EbA project) aimed at strengthening the capacity of countries that are particularly vulnerable to climate change impacts, at building ecosystem resilience for promoting ecosystem based adaptation (EbA) options and at reducing the vulnerability of communities with particular emphasis on mountain ecosystems.

The intervention strategy envisaged a bottom-up approach by linking EbA pilot projects (hereafter pilot projects) in Nepal, Peru and Uganda, tools for monitoring and defining a baseline scenario with the aim of learning from the pilot projects and supporting the replication and scale-up process. Through the parallel and cooperative development and application of methodologies and tools as well as the implementation of pilot projects in different countries and regions (hereafter country projects), the EbA project intended to shorten the learning curve of local and national institutions and accelerate the transfer of knowledge and experience on building ecosystem resilience and promoting ecosystem-based adaptation options.

Overall, the programme received good scores for nearly all evaluation criteria.

The EbA project is **highly relevant** to the objectives of the International Climate Initiative (IKI) as it directly contributes to the IKI goal of supporting exemplary approaches in the area of adaptation to / mitigation of climate change with replication potential. In addition, the EbA project contributes indirectly to the preservation of the biodiversity in the region. Reducing the vulnerability of ecosystems will contribute to preserving biodiversity, which in turn is one of IKI's core objectives. The project concept expressly provides for the generation of experience and lessons learned which should have been shared with other countries via suitable distribution mechanisms in order to enable a high replication. In addition, the EbA project aimed to create new opportunities for experimental learning between regions and between countries within the same region.

Most of the EbA project's objectives have been achieved and the **overall effectiveness** is assessed as satisfactory to good. Some minor criticisms concern the application of sound EbA cost-benefit analyses, and the adoption and application of EbA methods and tools at national level.

The criterion **efficiency** could not be assessed during this re-evaluation as no detailed information neither on the initial EbA project budget nor on the incurred expenditures was available. A final UN Environment evaluation report (hereinafter referred to as final evaluation report) concluded that the overall efficiency of the EbA project is 'moderately satisfactory', but no details are provided for this rating.

The **impact** of the EbA project is assessed as very positive. Due to a specific component which was incorporated into the project concept later, significant success has been achieved to which the EbA project has contributed. In particular the creation of formalized mechanisms such as the

initiation of the Global Mountain Initiative (GMI) goes beyond the originally planned project scope. At the global level, the EbA project has therefore contributed to an increased global debate on EbA, thereby influencing global EbA policy; while on the other hand, the **sustainability** of the EbA project is assessed as only satisfactory. The main reasons are the lack of funding from national or third sources to continue project activities after project completion and the relatively high risks of changes in the framework conditions, which may negatively affect the sustainability of the outcomes achieved.

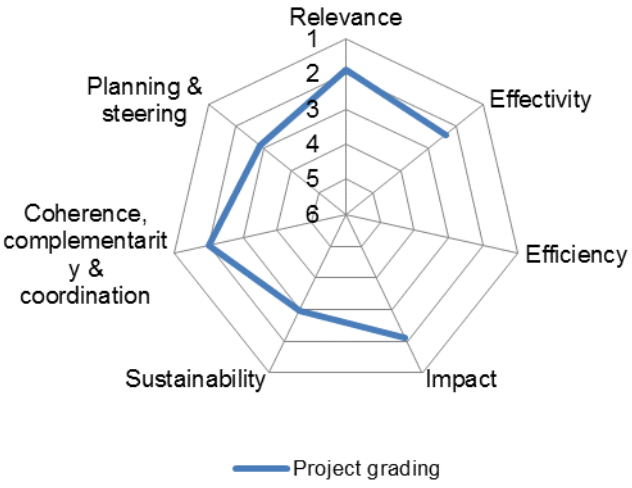
The criterion **coherence, complementarity and coordination** received the highest score possible. The project concept was well coordinated between the consortium partners and the established coordination structures allowed for an efficient implementation. In addition, the elaboration of the project concept was **well coordinated** with the relevant stakeholders in the partner countries, who - at least in Peru and Uganda - had a decisive influence on the choice of the project regions.

The aspect of **project planning** showed some deficiencies; in particular, the formulation of incoherent project objectives, project outcomes and indicators was observed. In addition, divergences could be observed between the country project proposals and the EbA project proposal. Finally, the EbA project proposal had some deficiencies in its intervention logic as no link was foreseen between the country projects and the overall project goal.

On the other side, the **project steering** has been assessed as very positive. At the beginning of the EbA project some difficulties occurred in the harmonization of approaches and in the understanding of the roles of the different partners. However, these were solved and in the final evaluation all partners reported a well-functioning and adequate monitoring and steering system well adapted to the EbA project's needs.

With regard to lessons learned, it is recommended to pay more attention to the link between proposed outcomes and the overall project goal(s). In this respect, proper intervention logics and sound theories of change should be a pre-condition for any project approval.

In addition, it is recommended that projects should explain in their concept their envisaged exit strategy. In particular, when further (financial) support is needed (e.g. for a widespread and continuous application of the project model), specific measures should be foreseen for achieving this support.



ZUSAMMENFASSUNG

Projektnummer		12_II+_012_Global_M_EbA Mountain Flagship (vorher: 10_II_109_Global_A_EbAs in Bergregionen)	
Name des Projekts		Ökosystembasierte Anpassung in	
Land der Durchführung		Nepal, Peru, Uganda	
Durchführungsstelle	UNEP	**Projektpartner**	UNDP, IUCN
Projektstart *geplant* *real*	 06/2010 06/2010	**Ende des Projekts** *geplant* *real*	 12/2014 06/2016
Projekt IKI-Haushalt *geplant* *real*	 10,000,000 € 11,500,000€	**Projektbudget aus nicht-IKI Quellen** *geplant* *real*	 n.a. € n.a. €

Die Auswirkungen des Klimawandels beeinträchtigen das Funktionieren und die Unversehrtheit verschiedener Ökosysteme und verstärken den Stress, der durch andere anthropogene Eingriffe wie nicht nachhaltige Landnutzungspraktiken entsteht. Das Programm (im Folgenden "EbA-Projekt") zielte darauf ab, die Kapazitäten von Ländern zu stärken, die besonders anfällig für die Auswirkungen des Klimawandels sind, die Widerstandsfähigkeit von Ökosystemen zu stärken, um ökosystembasierte Anpassungsoptionen zu fördern und die Anfälligkeit von Gemeinschaften zu verringern, wobei der Schwerpunkt auf Bergökosystemen lag.

Die Interventionsstrategie sah einen Bottom-up-Ansatz vor, bei dem EbA-Pilotprojekte (nachstehend "Pilotprojekte") in Nepal, Peru und Uganda, Überwachungsinstrumente und die Festlegung eines Basisszenarios miteinander verknüpft wurden, um aus den Pilotprojekten zu lernen und den Prozess der Replikation und des Scale-up zu unterstützen. Durch die parallele und kooperative Entwicklung und Anwendung von Methoden und Instrumenten sowie die Durchführung von Pilotprojekten in verschiedenen Ländern und Regionen (nachstehend "Länderprojekte"), sollte das EbA-Projekt die Lernkurve lokaler und nationaler Institutionen verkürzen und den Transfer von Wissen und Erfahrungen über den Aufbau der Widerstandsfähigkeit von Ökosystemen und die Förderung ökosystembasierter Anpassungsoptionen beschleunigen.

Insgesamt erhielt das Programm für fast alle Bewertungskriterien gute Noten.

Das EbA-Projekt ist von **hoher Relevanz** für die Ziele der Internationalen Klimaschutzinitiative (IKI), da es direkt zum Ziel der IKI beiträgt, beispielhafte Ansätze im Bereich der Anpassung an den Klimawandel bzw. der Minderung des Klimawandels mit Replikationspotenzial zu unterstützen. Darüber hinaus trägt das EbA-Projekt indirekt zum Erhalt der Biodiversität in der Region bei. Durch die Verringerung der Anfälligkeit von Ökosystemen wird ein Beitrag zum Erhalt der Biodiversität geleistet, was wiederum eines der Kernziele der IKI ist. Das Projektkonzept sieht ausdrücklich die Gewinnung von Erfahrungen und Erkenntnissen vor, die über geeignete Verteilungsmechanismen mit anderen Ländern geteilt werden sollten, um eine hohe Replikation zu ermöglichen. Darüber hinaus zielte das EbA-Projekt darauf ab, neue Möglichkeiten für experimentelles Lernen zwischen Regionen und zwischen Ländern innerhalb derselben Region zu schaffen.

Die meisten Ziele des EbA-Projekts wurden erreicht und die **Gesamtwirksamkeit** wird als zufriedenstellend bis gut bewertet. Einige kleinere Kritikpunkte betreffen die Anwendung fundierter EbA-Kosten-Nutzen-Analysen sowie die Übernahme und Anwendung von EbA-Methoden und -Instrumenten auf nationaler Ebene.

Das Kriterium **Effizienz** konnte bei dieser Re-Evaluierung nicht bewertet werden, da weder zum ursprünglichen EbA-Projektbudget noch zu den angefallenen Ausgaben detaillierte Informationen

verfügbar waren. Ein abschließender Evaluierungsbericht der UN-Umwelt (im Folgenden als abschließender Evaluierungsbericht bezeichnet) kam zu dem Schluss, dass die Gesamteffizienz des EbA-Projekts "mäßig zufriedenstellend" ist, aber es werden keine Einzelheiten für diese Bewertung angegeben.

Die **Auswirkungen** des EbA-Projekts werden als sehr positiv bewertet. Durch eine spezifische Komponente, die später in das Projektkonzept aufgenommen wurde, konnten wesentliche Erfolge erzielt werden, zu denen das EbA-Projekt beigetragen hat. Insbesondere die Schaffung von formalisierten Mechanismen wie die Initiierung der Global Mountain Initiative (GMI) geht über den ursprünglich geplanten Projektumfang hinaus. Auf globaler Ebene hat das EbA-Projekt daher zu einer verstärkten globalen Debatte über EbA beigetragen und damit die globale EbA-Politik beeinflusst; andererseits wird die **Nachhaltigkeit** des EbA-Projekts nur als zufriedenstellend bewertet. Die Hauptgründe dafür sind die fehlende Finanzierung aus nationalen oder dritten Quellen, um die Projektaktivitäten nach Projektabschluss fortzusetzen, und die relativ hohen Risiken von Änderungen der Rahmenbedingungen, die sich negativ auf die Nachhaltigkeit der erzielten Ergebnisse auswirken können.

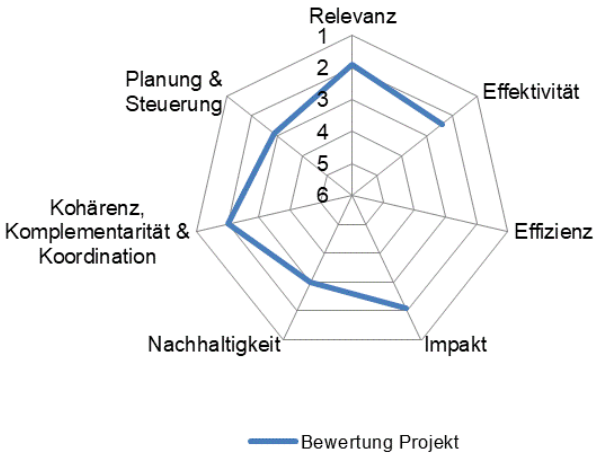
Das Kriterium **Kohärenz, Komplementarität und Koordination** erhielt die höchstmögliche Punktzahl. Das Projektkonzept war zwischen den Konsortialpartnern gut abgestimmt und die etablierten Koordinationsstrukturen ermöglichten eine effiziente Umsetzung. Darüber hinaus wurde die Ausarbeitung des Projektkonzepts **gut** mit den relevanten Interessengruppen in den Partnerländern **abgestimmt**, die - zumindest in Peru und Uganda - einen entscheidenden Einfluss auf die Auswahl der Projektregionen hatten.

Der Aspekt der **Projektplanung** wies einige Mängel auf; insbesondere wurde die Formulierung von inkohärenten Projektzielen, Projektergebnissen und Indikatoren festgestellt. Außerdem waren Abweichungen zwischen den Projektvorschlägen der Länder und dem EbA-Projektvorschlag festzustellen. Schließlich wies der EbA-Projektvorschlag einige Mängel in seiner Interventionslogik auf, da keine Verbindung zwischen den Länderprojekten und dem Gesamtprojektziel vorgesehen war.

Auf der anderen Seite wurde die **Projektsteuerung** als sehr positiv bewertet. Zu Beginn des EbA-Projekts gab es einige Schwierigkeiten bei der Harmonisierung der Ansätze und beim Verständnis der Rollen der verschiedenen Partner. Diese wurden jedoch gelöst, und in der abschließenden Bewertung berichteten alle Partner über ein gut funktionierendes und angemessenes Überwachungs- und Steuerungssystem, das gut an die Bedürfnisse des EbA-Projekts angepasst ist.

Im Hinblick auf die Lessons Learnt wird empfohlen, der Verbindung zwischen den vorgeschlagenen Ergebnissen und den allgemeinen Projektzielen mehr Aufmerksamkeit zu widmen. In dieser Hinsicht sollten eine angemessene Interventionslogik und solide Theory of Change eine Vorbedingung für jede Projektgenehmigung sein.

Darüber hinaus wird empfohlen, dass die Projekte in ihrem Konzept ihre geplante Ausstiegsstrategie erläutern. Insbesondere wenn weitere (finanzielle) Unterstützung benötigt wird (z. B. für eine weit verbreitete und kontinuierliche Anwendung des Projektmodells), sollten spezifische Maßnahmen zur Erreichung dieser Unterstützung vorgesehen werden.



1 PROJECT BRIEF

1.1 Framework Conditions and Needs Assessment

Climate change impacts are affecting the functioning and integrity of several ecosystems and are adding to the stress resulting from other anthropogenic interventions such as unsustainable land use practices. The project countries and targeted ecosystems have been identified as particularly vulnerable to climate change impacts. A multitude of communities depend upon the services provided by these ecosystems.

Nepal is a largely agricultural economy and therefore highly sensitive to changes in climate and the availability of natural resources. Climate change threatens to reduce the effectiveness of development initiatives throughout Nepal. In addition, the UNFCCC National Communication noted that changes in temperature and precipitation alter vegetation patterns, which in turn affect biodiversity in Nepal's forests. Nepal's National Adaptation Programme of Action has identified inadequate technical, institutional and financial capacity to implement the national programme. With regard to technical and technological capacity, it requires the promotion of improved pasture and rangeland management techniques to rehabilitate the degraded mountain ecological region, and integrated wetland management through innovative mechanisms such as facilitating governance. Capacity building of forest-dependent communities, farmers and rural populations is also necessary for forest and ecosystem management.

According to studies prior to Peru's Second National Communication, climate change events expected by 2050 confirm the trends towards increased temperatures, reduced precipitation, rising sea level, and increased frequency of extreme weather events. Existing climate change impacts include the rapid retreat of many Andean glaciers, some of which could disappear completely by 2030. Warming in the Andes is also already causing damages to high mountain ecosystems. These ecosystems have unique endemic flora and provide numerous and valuable environmental goods and services. In Peru glacier retreat could seriously affect seasonal water flows and the availability of water for human consumption, hydropower, agriculture, sanitation, and ecosystem integrity.

Uganda is considered highly vulnerable to the impacts climate change. Increases in temperature and rainfall conditions have far-reaching consequences on the intensity and occurrences of hazards in Uganda's mountain areas. The most significant future climate change challenges for the mountain ecosystems of Uganda are increased glacial reduction, floods and landslides with impacts on the health, food security and the economic development potential of the population. In addition, national knowledge and capacity to undertake vulnerability and impact assessments on vulnerable ecosystems, such as mountain ecosystems are limited. National (as well as regional) data, indicators and observation systems that inform vulnerability and impact assessments for vulnerable ecosystems also need to be enhanced. Finally, building capacity across scientific and policy-making institutions and networks to generate, interpret and act upon information for adaptation planning remains a critical gap.

1.2 EbA Project Objectives

The objective of the proposed EbA project is to strengthen the capacities of Nepal, Peru and Uganda to enhance ecosystem resilience for promoting ecosystem based adaptation options and to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems. In particular, the EbA project will support: (i) the development of methodologies and tools for mountain ecosystems; (ii) the application of the above tools and methodologies at the national level; (iii) the implementation of EbA pilot projects at the ecosystem level; and (iv) the formulation of national policies and building an economic case for EbA at the national level.

In addition, the following country project objectives were defined:

Uganda: The goal of the proposed country project is to strengthen Uganda's capacity for promoting ecosystem based adaptation options and to reduce the vulnerability of communities to climate change with particular emphasis on mountain ecosystems.

Peru: The objective of the proposed country project is to strengthen Peru's capacity to promote and implement ecosystem based adaptation to climate change and to reduce the vulnerability of local communities in high mountain ecosystems, with particular emphasis on the Central Andean ecosystems as typified in the Nor Yauyos – Cochas Scenic Landscape Reserve and its buffer zone.

Nepal: To strengthen the capacity of national and local actors and institutions on ecosystem based adaptation in Nepal.

As target indicators - valid for all country projects - were defined:

- Ecosystem based adaptation framework including assessment and monitoring methodologies and tools developed and applied for designing EbA measures;
- Ecosystem based adaptation strategy and action plan developed for at least three mountain ecosystems in three continents;
- Capacity built and prioritized ecosystem based adaptation measures piloted and demonstrated in at least three vulnerable ecosystems to build ecosystem resilience and reduce the vulnerability of local communities in three mountain ecosystems;
- EbA measures integrated into local (at appropriate level) ecosystem management and national development and climate change policies and plans;
- EbA learning captured and disseminated including practical guidance tools on cost and benefits of adaptation implementation options in mountain ecosystems as a basis for replication efforts.

1.3 Intervention Strategy and Theory of Change

The main project hypothesis was that improving the adaptability of vulnerable communities through the implementation of ecosystem-based adaptation will lead to real changes in human livelihoods and improved ecosystem health. The EbA project had identified the following key elements of its intervention strategy:

- The successful operation and sustainability of adaptation options is based on the generation of local benefits. Therefore, a corner stone of the project concept was maximum involvement of local institutions in the implementation of the EbA options, including local communities, landowners, local and regional authorities, and other stakeholders.
- Through this mechanism, the EbA project aimed at integrating EbA into local ecosystem management plans and into national development and climate change policies and plans.
- In order to achieve sustainability and replication, the project concept included working relationships at different levels and with different partners in the countries at local, regional and nationals levels such as ministries, municipalities and civil society organisations as well as with partners experienced with EbA planning and implementation.
- In addition, a maximum coordination and synergy with ongoing projects in the participating countries was foreseen.
- Finally, the products, tools developed, and lessons learned from the EbA project should be analysed and disseminated through the Ecosystems Livelihoods Adaptation Networks (ELAN) and Global Adaptation Network (GAN) with its regional networks.

Hence, the EbA project aimed at creating new opportunities for experimental learning between regions and among countries within the same region.

The intervention strategy envisaged a bottom-up approach by linking the pilot projects, monitoring tools and the establishment of a baseline scenario (business as usual) with the aim of learning from the pilot projects and supporting the replication and scale up process. Through the parallel and cooperative development and application of methodologies and tools as well as the implementation of pilot projects in different countries and regions, the project intended to shorten the learning curve of local and national institutions and accelerate the transfer of knowledge and experience on building ecosystem resilience and promoting of ecosystem-based adaptation options.

By sharing and replicating experience, the EbA project wanted to contribute to

- protect vulnerable communities and their livelihoods, and ecosystems from the impacts of climate change;
- conserve biodiversity and enhance local ecosystem services for adaptation in the face of anticipated climate change impacts;
- improve rural livelihoods by creating and/or maintaining employments and income generating opportunities i.e. through promoted conservation efforts;
- build the capacity and facilitate the effective engagement of local and national institutions and of communities and indigenous groups in adaptive ecosystem management;
- contribute to the development of the target countries' sustainable development by improving the management of natural resources and their sustainable use.

1.4 Project Partners

The EbA project was implemented by three partners: UNEP as lead partner and UNDP and IUCN and cooperation partners. This partnership was justified as the three organizations complement each other's comparative strengths with the goal of delivering more effectively adaptation support services to countries. According to the project proposal all agencies have full ownership of the entire EbA project (through joint fundraising and decision making) while each of them is leading the implementation of distinct parts based on comparative advantages. In this regard, UNEP provided overall /global coordination of the EbA project in close collaboration with UNDP and IUCN, while UNDP and IUCN were responsible for country level implementation.

A global steering committee with representation from the BMU and the three partners was established to provide operational coordination and guidance for the overall implementation of the project. In addition, national steering committees (including UNDP, UNEP, IUCN and relevant national stakeholders) were established to oversee national implementation.

The technical lead role for the different components was taken up by the following partners:

- Component 1 (Development of methodologies and tools for ecosystem based adaptation decision making in mountain ecosystems): UNEP
- Component 2 (Application of methodologies and tools at ecosystem level): UNEP with UNDP providing coordination at the country level
- Component 3 (Implementation of ecosystem based adaptation pilots at ecosystem level): UNDP and IUCN jointly led the work in Nepal, Peru and Uganda with UNDP providing overall coordination at the country level
- Component 4 (Development of business case for ecosystem based adaptation at the national level; and the additional component): UNDP
- Component 5[1] (Development of a learning and knowledge management framework): UNEP

Funding for the EbA project was channeled through a Multi Donor Trust Fund (MDTF) established under the UN Multi Donor Trust Fund Office (http://mdtf.undp.org/).

Within the countries, a large number of political partners were involved, namely:

- Nepal: At the national level the Ministry of Forest and Soil Conservation (MoFSC) through its Department of Forests (DoF), Ministry of Population and Environment (MOPE), Ministry of Federal Affairs and Local Development (MoFALD), Ministry of Agriculture Development (MoAD) and the National Planning Commission (NPC). At the regional level the Western Region Forest Directorate (WRFD) and the District Administration in the project region.
- Peru: At the national level the Ministry of Environment (MINAM), its Directorate of Climate Change and the National Service of Protected Areas (SERNANP). At the regional level, the Directorates of Natural Resources of the regional governments and SERNANP administrations.

[1] Component 5 was added in the course of the project together with an extension until 31st December 2015

- Uganda: At the national level, the Ministry of Water and Environment (MWE) through its Directorate of Environmental Affairs (DEA) and the Climate Change Department (CCD). At the sub-national level, the district administrations.

1.5 Project Budget and Timeframe

The EbA project proposal mentioned a budget of EUR 10 million and an implementation horizon of 54 months (06/2010 to 12/2014). Within the UN, the EbA project was approved in June 2010 and commenced immediately after approval. However, there was an initial delay in disbursing funds by the BMU (funds were received in 2011), causing a slow start.

The EbA project underwent a major revision in 2015, when a component on learning and knowledge management was added, an additional funding of EUR 1.5 million was provided, and the EbA project duration was extended first to 31 December 2015 and later to 30 June 2016 to enable the completion of outputs.

2 RE-EVALUATION METHOD

2.1 Re-evaluation Design and Process

The re-evaluation of the present EbA project followed the general methodology, specifically developed for the evaluation of projects financed through the International Climate Initiative. This methodology is based on the five OECD-DAC criteria for project evaluation (relevance, effectiveness, efficiency, sustainability, impact), complemented by two additional criteria “coherence, complementarity and coordination” and “project planning and steering” in order to capture additional insights into IKI projects. The methodology includes a series of guiding questions and related indicators for each criterion, reflecting the diversity of thematic areas covered by the IKI. This re-evaluation was desk-based and was carried out in 4.5 days.

2.2 Data Sources and Quality

The main sources used for this re-evaluation were the project proposal, interim reports and in particular, a final evaluation report of the EbA project carried out under the umbrella of the UN Environment Evaluation Office, whose final version was published in May 2017. As the methodology and content of the final evaluation did not fully correspond with the above-mentioned IKI specific methodology, a re-evaluation was carried out, transferring the narrative information from the final evaluation report into the IKI specific evaluation matrix, presented in this re-evaluation report.

The present EbA project included activities in three countries. For each country, specific goals and outputs were formulated. However, the EbA project proposal did not provide details on expected outcomes and outputs and did not include objectively verifiable indicators or a logframe. In addition, the formulated objectives did not fully correspond to the country projects. Therefore, no detailed data was available for evaluating the country projects’ specific results in comparison to the targets formulated in the EbA project proposal. In consequence, the information shown in this re-evaluation report is mainly based on the information in the final evaluation report, cross-checked with information from the interim reports.

In addition, not all indicators specified in the IKI evaluation methodology could be assessed due to a lack of specific information. In these cases, plausibility considerations have been applied allowing for an overall assessment of the EbA project with the exception of the criterion ”efficiency”, as detailed data about planned and executed budget were not available.

3 EVALUATION RESULTS

3.1 Relevance

Criterion	Overall evaluation question: Do the project goals reflect the goals of the IKI, the partner country and the beneficiaries?	Rating
Relevance	Degree of contribution to IKI's programme goals (60%)	1.7
	Relevance of the project for achieving the country's climate objectives (25%)	2.4
	Relevance of the project for its target group (15%)	2.0
Overall rating of relevance		**1.9**

Relevance to the IKI programme objectives:

The objective of the proposed EbA project on the one hand is to strengthen the capacities of Nepal, Peru and Uganda to strengthen ecosystem resilience for promoting ecosystem-based adaptation options, on the other hand to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems. The activities were similarly conducted in three countries in mountain regions, offering diverse ecosystems. Through exchange of experience and tools, a fast and considerable impact was expected, going beyond the specific project regions. Therefore, it has directly contributed to the IKI objective of supporting exemplary approaches in the area of adaptation to / mitigation of climate change with potential for replication.

In addition, the project has indirectly contributed to the preservation of the biodiversity in the region. According to surveys carried out before the project start, the regions offer a high diversity of fauna and flora, some of them are threatened with extinction. A reduction of the vulnerability of ecosystems will contribute to preserve the biodiversity, which again is one of the core goals of the IKI.

The EbA project concept (in its amended version) explicitly foresees the generation of experience and lessons learned which are to be shared via suitable distribution mechanisms with other countries allowing for a high replication. In addition, the EbA project aimed at creating new opportunities for experimental learning between regions and among countries within the same region. Through parallel and cooperative development, the application of methodologies and tools as well as the implementation of pilot projects, the EbA project intended to shorten the learning curve of local and national institutions and accelerate the transfer of knowledge and experience building ecosystem resilience. Due to these facts, the overall grade for the relevance to the IKI was increased.

Relevance to the climate goals of the partner countries:

The EbA project concept is very relevant and consistent with the policies and strategies of the three partner countries.

Country project Uganda: (grade 2.0)

Uganda's legal and policy framework recognises the importance of ecosystems in environmental management. In this context, the project is consistent with development objectives set forth by the National Development Plan (NDP) 2010. The NDP outlines four objectives with respect to the climate change sector, namely:

1. to develop national capacity for the coordination and implementation of climate change adaptation and mitigation activities to support social welfare and national development;
2. to ensure climate proof development planning;
3. to promote a low carbon development path; and
4. to meet Uganda's international obligations with regard to climate change.

Uganda's National Adaptation Programme of Action (NAPA) observes that highland ecosystems are particularly vulnerable to climate change impacts. The NAPA has particularly observed a

concentrated occurrence of landslides in the ecosystems of the highland. Furthermore, the project was implemented at a time when Uganda was developing its climate change policy. The country project aimed to promoting the integration of EbA approaches into the evolving climate change policy framework.

The country project received a letter from the Ministry of Water and Environment expressing a strong support of the project. In addition, all relevant national stakeholders were informed about the project and had the opportunity to express their points of view and suggestions. The specific project site was chosen in agreement with the Ministry.

Country project Nepal: (grade 3.0)

The design of the country project was aligned to Nepal's Three Year Plan (TYP) for the period 2010/11-2013/14, which aimed at promoting green development, making development activities climate-friendly, mitigating the negative impacts of climate change and promoting adaptation. In addition, the project has been relevant to Nepal's NAPA realising that Nepal's high vulnerability to climate change is due to the country's fragile topography, deforestation and eroded soils. The project was also aligned to Nepal's United Nations Development Assistance Framework (UNDAF) for the period 2008-2012 and UNDP Country Programme Action Plan (CPAP) for the period 2008-2012. The project's demonstration component was designed to contribute to the UNDAF (2013-2017).

The country project proposal mentions in depth the intended cooperation with official entities in Nepal. However, the available documentation does not include a formal support letter and no evidence is given that the project region was selected in agreement with the Government.

Country project Peru: (grade 2.0)

The country project was relevant and consistent with the Government of Peru's environmental, sustainable development and climate change goals, e.g. National and Subnational policies and legal Framework21 on Climate Change, the Climate Change Strategy (NCCS), formulated in 2003 and updated in 2009, as well as Peru's 2010 Second National Communication (SNC) to UNFCCC. Among other things, the NCCS was developed to promote and develop policies, measures and projects that increase the adaptation capacity of the country to climate change in order to make it less vulnerable. In addition, the government expected the project to increase EbA knowledge and research. The project was coherent and responded to the institution's necessities and mandate.

The country project proposal mentions in depth the intended cooperation with official entities in Peru. However, the available documentation does not include a formal support letter. On the other hand, the project area was selected on request of the relevant ministry (MINAM). Hence, it can be concluded that the project received full support by the relevant ministries.

Relevance to the goals of the beneficiaries:

In all three countries, the population living in mountainous areas is highly affected by climate change impacts. Most of them generate their income from agricultural activities, which are increasingly affected by climate change. Therefore, proper knowledge and tools for achieving a lower vulnerability of the ecosystems are of high interest to the population (grade 2 in all three countries).

However, the suitability of the project approach and concept was apparently not shared with the local population living at the specific project locations of the three selected countries; this point is taken into account in the criterion "project planning and steering".

3.2 Effectiveness

Criterion	Overall evaluation question To which degree were the defined project goals achieved?	Rating[2]
Effectiveness	Degree of achievement of the project goals (100%)	2.4
Overall rating of effectiveness		**2.4**

The rating for the overall achievement of outcomes mentioned in the final evaluation report is 'satisfactory'

The assessment of the EbA project's effectiveness has proven difficult, as the formulation of project objectives, results, outcomes, outputs and indicators are not coherent in the different project documents. For example, some divergences have been observed between the EbA project proposal and the three country project proposals. The three country project proposals offer in their majority a good detailed set of indicators for the mentioned outcomes, which - according to the planning documents - had to be completed and quantified during the inception period. Whether this specification was performed could not be evaluated. The EbA project proposal also mentions project goals, but these lack coherent and specific indicators for each goal. This concerns in particular the overall project goal, for which no indicators were formulated.

The final evaluation report is based on a reconstructed theory of change, containing also different formulations for the EbA project goals (outcomes) and outputs. In addition, this report shows a significantly reduced number of outputs compared to the initial EbA project proposal. Consequently, a coherent comparison of achieved results with the original EbA project planning was not possible.

On the other hand, the final evaluation report itself is consistent in its logic and evaluates the achievement of results against the formulated outcomes in the final evaluation report. Therefore, the final evaluation report was taken as basis for evaluation according to the IKI methodology, showing the results in the table above.

For the assessment of the EbA project's effectiveness, the outcomes and outputs mentioned in the final evaluation report were taken as basis, showing the following results:

Component 1: Development of methodologies and tools for EbA decision-making in mountain ecosystems climate risk assessment and forecasting.

Output 1.1 EbA assessment methodology and tools, options and indicators for monitoring available to decision-makers in project countries.

Under this output, UN Environment engaged the World Conservation Monitoring Centre (WCMC) to develop EbA tools and methodologies. WCMC produced an EbA guidance paper entitled *"Ecosystem resilience to climate change: What is it and how can it be addressed in the context of climate change adaptation?"*. In addition, guidance documents for conducting rapid and detailed vulnerability impact assessments (VIA) were developed and draft versions were used and customized to conduct country VIAs under component 2. The guidance tools included an M&E framework with indicators to measure performance in implementation of EbA options. The framework was used to develop country M&E frameworks for measuring outcomes and impact of the EbA activities implemented in the pilot sites.

While EbA guidance tools should have been developed and then applied to guide detailed VIAs at country level, time constraints could not allow the envisaged stepwise approach. Consequently, the guidance tools were developed parallel to the country VIA processes. Although the process of developing guidance was beneficial in informing the country VIA studies, the VIAs may not have benefited from the guidance tools as much as they should have if the guidance had been completed before the commencement of VIAs.

The delay in the development of the guidance tools had some impacts on the implementation of activities in components 2 and 3. The delay was mainly due to some deficiencies in the project

[2] The five project components received a different weighting according to their importance for achieving the overriding project goal: component (1) 15%, component (2) 15%, component (3) 25%, component (4) 15% and component (5) 30%.

planning as the implementation methodology was not harmonized between the project partners before the commencement of the project.

Grade 3 (the final evaluation report graded moderately satisfactory)

Component 2: Application of methodologies and tools at ecosystem level.

Output 2.1 EbA strategy and action plans at ecosystem level developed.

The delays in delivering the outputs in component 1 had impacts on the execution of activities in component 2. While it was originally foreseen to perform detailed vulnerability impact assessments (VIAs) based on the results of component 1, in reality, these were performed in parallel. However, rapid VIAs were performed in a participatory manner. The later developed detailed VIAs proposed different options for the selected regions in the three countries. The VIAs focused on understanding the vulnerability of ecosystems and communities in project pilot sites and how the adaptive capacity of communities could be enhanced. They also served to broadly validate the rapid participatory vulnerability assessments undertaken, which serves as a good lesson for future projects that require VIAs.

In all three countries specific action plans were developed, proposing different EbA options. In Nepal, six EbA options were proposed to improve resilience of the ecosystem and adaptation plans for the 13 sub-watersheds were prepared, out of which three priority sub-watersheds were selected as pilot sites for project implementation. In Peru, the specific sites were chosen based on the information provided by the VIA and different EbA options were developed. In Uganda, the VIA was used to select high climate change risk areas and informed on the selection of pilot sites and EbA options for piloting. Five river micro-catchments were selected as pilot sites and climate change adaptation plans for 12 parishes were developed.

Grade 2 (the final evaluation report graded satisfactory)

Component 3: Implementation of EbA pilots at ecosystem level

Output 3.1 Technical and capacity building support on EbA planning, executing and monitoring delivered.

Output 3.2 Pilot demonstrations delivered contributing to EbA strategies and action plans being developed in three different countries.

In all three countries, much emphasis was given on capacity building activities targeting decision-makers at national and sub-national level. However, the target groups trained differ widely:

- Nepal: Emphasis was on the regional and local level, where in total > 6,000 people participated in the trainings. Trainings were conducted that targeted staff of the Western Regional Forest Directorate (WRFD), agriculture and livestock district line agencies, members of the Councils of the Panchase Protection Forest (PPF), Community Forest User Groups (CFUGs) women groups, and Community-based Organizations (CBOs).
- Peru: Trainings focussed on regional governmental personnel to enhance knowledge about ecosystems and suitable management systems. No data is available regarding the number of people trained.
- Uganda: Trainings were conducted for target groups at national, regional and local level, for which different training materials were developed. The training targeted decision-makers and technical staff at national and district levels and community groups.

In addition, all three country projects supported study tours for government leaders, technical staff, community groups and farmers.

In all country projects, under component 2 detailed EbA strategies and action plans were elaborated. The plans included different aspects such as restoration activities, water conservation, livelihood diversification, biodiversity conservation, reforestation, soil conservation etc. In addition, according to the action plans the specified activities were executed in all three countries.

Nevertheless, it is worthwhile to state that at least some of the activities implemented were not novel, but rather already implemented before the commencement of the project. To which extent

could not be assessed in this re-evaluation. This observation led to a slight reduction in the grading of this component.

Grade 2.5 (the final evaluation report graded highly satisfactory)

Component 4: Business case for EbA at the local and national levels developed

Output 4.1 Guidance notes for Business Case for EbA and the cost-coefficients developed and shared with the relevant governments at national level.

In all three country projects the products developed under components 1 and 2 were shared with national and even global levels. For example, the results were used by the project partners in the UNFCCC Nairobi Work Programme on EbA and results contributed towards integration of ecosystem based approached for adaptation into UNFCCC reports and database. The Cost Benefit Analysis (CBA) approach was applied to the EbA project and it determined the cost-effectiveness of the EbA options piloted at ecosystem level in countries. The project produced a publication 'Making the Case for Ecosystem Based Adaptation - The Global Mountain EbA Programme in Nepal, Peru and Uganda', which was launched at a UNFCCC COP21 side-event in Paris.

As mentioned above, in all three countries cost-benefit analyses were performed on specific activities implemented. However, according to the information received these CBA were performed towards the end of the project (ex-post) and hence, did not have an impact on the choice of activities in the pilot sites. As a result, at least in Uganda it was found that some measures implemented were not sufficiently cost-effective and beneficial, leading to a reduction in the grade.

Grade 2.7 (the final evaluation report graded highly satisfactory)

Component 5: Development of a learning and knowledge management framework.

Output 5.1 Knowledge products to capture lessons on EbA produced and disseminated.

In early 2014, the EbA project was expanded to include a cross-cutting component on learning and knowledge management. The activities under this output were geared at strengthening learning from the three pilot projects beyond local and country levels. As this was exactly the overall objective of the project, the inclusion of this component is positively validated (but negatively taken into account in the project planning criterion).

Several activities were undertaken within this component. The EbA project convened high-level events at national and global levels and a global EbA network was initiated. For example, four annual Global Learning and Technical Workshop for the Global Mountain EbA programme workshops were conducted in Germany in 2012, Uganda 2013, Nepal 2014 and Peru 2015. In addition, several documents were published, different side events at COPs organized and EbA policy briefs prepared at country level. Finally, an EbA learning framework for mapping and assessing the effectiveness of EbA related initiatives was developed.

Grade 2.0 (the final evaluation report mentioned highly satisfactory)

3.3 Efficiency

No detailed information was available to assess the efficiency of the project. Therefore, no grade was assigned to this criterion. Some qualitative statements were provided in the final evaluation report, which are shown and assessed below.

Criterion	**Overall evaluation question** How is the relation between the project results and the employed (financial) means to be judged?	**Rating**
Efficiency	Degree of justification for the invested effort compared to the reference value/frame (40%)	n.a.
	Degree of invested effort necessary to achieve the project goal(s) (25%)	n.a.
	Degree of use of the project's outputs (e.g. capacities, knowledge, equipment) (35%)	n.a.

Criterion	Overall evaluation question How is the relation between the project results and the employed (financial) means to be judged?	Rating
Overall rating of efficiency		**n.a.**

The final evaluation report (2016) concludes that "overall the project was cost effective", based on the following reasons:

i. Partnerships: Harnessing the comparative advantage of the partners and establishment of strategic partnerships with key organizations who already had a strong track record of experience in climate change adaptation in the country;
ii. Site selection: Pilot sites were selected in areas where potential partners and the governments were already conducting relevant projects and programmes;
iii. Building on the past and ongoing programmes of partners and utilization of existing institutional structures government ministries, regional and local governments, information, equipment and data sets.

The same report stated furthermore: *"These cost-efficient measures contributed to the successful completion of the project within the budget. However, the selection of pilots in areas where governments and partners were already working, could also mean that the project 'went for low hanging fruits' instead of trying to promote EbA in highly vulnerable locations where this would have required starting from the beginning, but would have made a bigger difference at the end."* In addition it is stated that the *"management costs, mainly composed of project staff, travel and administrative support, remained low as compared to the total project budget"*.

A summary of expenditures was provided by UNEP to BMU in January 2017. However, no information was made available regarding contributions made by the different project partners, for example by the involved ministries or local stakeholders. The final evaluation report only provides an overview comparison of planned budget to expenditures occurred at the end of 2015. In addition, the final evaluation report provides an expenditure overview per country.

Out of these overviews, it is deduced that 59.6% of the overall budget (IKI) was designated for work within the countries, while 40.4% were foreseen for other activities, probably including project management.

As neither the original project budget nor details on the above mentioned expenditures were available, neither a cost comparison with other projects nor a detailed cost assessment could be performed. Therefore, the criterion efficiency is not assessed in this re-evaluation.

The final evaluation report concludes that the overall efficiency of the project is rated 'moderately satisfactory', but no details are provided for this rating.

3.4 Impact

Criterion	Overall evaluation question Does the project contribute to climate-relevant impacts?	Rating
Impact	Degree of achievement qualitative and quantitative climate-relevant impacts (80%)	2.0
	Degree of achievement of other un-intended relevant impacts (00%)	n.a.
	Degree of achievement of multiplication effects regarding result dissemination (20%)	2.5
Overall rating of impact		**2.1**

Considering the high level of ownership of the EbA project results in countries and globally, the partnerships built, and the institutionalization of the project's achievements, it is very likely that the project outcomes can progress into impact.

The success of the EbA project in catalyzing international debate has made a case for policy change and support for EbA in the United Nations Environmental Assembly, UNFCCC and Convention on Biological Diversity (CBD), which could increase funding for EbA application

globally. Already within UN Environment funding for EbA is increasing. However, long-term impacts regarding adaptation and building resilience in countries will accrue more likely if the EbA approach becomes part of a wider framework for integrating EbA and ecosystem management into planning and socio-economic development at all levels.

Globally, the EbA project has had exceptionally broad reach in making the case for policy change for EbA, ranging from working with communities to engaging with other countries and the United Nations. The EbA project has worked to bridge local practice with global policy. For example, site and country level experiences on planning and implementing EbA have been shared through global policy platforms under the UNFCCC and CBD. In addition, the CBD recognized the importance of EbA at the CBD COP12 in 2014. Consequently, the CBD Secretariat set up a Technical Reference Group on EbA in response to the COP12 decision on EbA. An expert workshop on EbA organized by the CBD Secretariat in Johannesburg, South Africa, in September 2015, consolidated recommendations on incorporating EbA into biodiversity conservation. IUCN has been contributing towards this process and helped in designing the workshop and mapping methodology for the global EbA synthesis report.

These achievements - and in particular the creation of formalized mechanisms for incorporating EbA approaches into general climate change activities - go beyond the overall EbA project goal and is, therefore, positively rated.

In addition, the replication potential of the EbA project is assessed as very high. The EbA project built a case for adoption of EbA at country and global level and the integration of EbA in national and global policy. However, limited funding at country level could limit the scaling-up and replication of the project results, which would be required to reach impact. While in Nepal and Peru some funding has been allocated in sectoral budgets to scale-up project results, the funding is still inadequate to effectively replicate the project results.

3.5 Sustainability

Criterion	Overall evaluation question Are the positive outcomes / impacts of the project sustainable?	Rating
Sustainability	Degree of verification of the project's outcome after project end (25%)	2.0
	Degree to which the beneficiary/project partner has the capacities of sustaining and continuing the positive project results after project end (30%)	3.0
	Degree of the project's outputs continuation by the beneficiary/project partner/third parties with their own resources after project end (20%)	3.5
	Degree of ecological, social, political and economic stability in the project area (25%)	3.5
Overall rating of sustainability		**3.0**

The rating for the overall sustainability of the project mentioned in the final evaluation report is 'moderately likely'

The EbA project applied a highly participatory approach in design and implementation. Stakeholders actively participated in all activities including VIAs, selection of pilot sites, prioritisation of EbA options, as well as in piloting of on-the-ground EbA interventions. The participatory approach employed by the project provides a framework for continued resource mobilization and implementation of EbA activities in the project countries. The involvement and formation of community groups enhances the potential of improved socio-economic conditions related to the project results because the built networks will continue beyond project end. **At the local level**, sustainability has been found likely due to the high demand for the implemented EbA options in communities.

As well on the **national level** sustainability is likely. The national, regional and local policy makers and technical staff who were involved in capacity enhancement activities and piloting EbA options have increased confidence in EbA. Countries have incorporated EbA in their Intended Nationally Determined Contributions (INDCs), which are now international commitments. Thus, a policy framework at national level to sustain the project's achievements and lessons learned beyond project end exists.

The EbA project was implemented within existing institutional structures and mandates. During the implementation of the EbA project, Adaptation Learning Centres were put in place in Uganda and in Nepal that strengthen the climate change institutional set up of the regions. The Adaptation Learning Centres will continue to promote climate change learning and knowledge dissemination for a long time after project end. As in Peru these centres were not established, the grade for this aspect has been reduced.

Despite this positive assessment, according to the final evaluation report, concerns exist about the lack of adequate financial resources for sustaining project outcomes in all three countries. Financial sustainability will largely depend on funding from national budgets, international climate financing streams and initiatives of other external donors and regional institutions, as the project design did not propose specific strategies for self-financing in the post-project period.

However, some positive trends could be observed: In Peru, a financial line has been created to fund EbA actions. In Nepal, the synergy created on EbA in the Regional Climate Change strategy and the Management Plan creates an opportunity for allocation of resources to EbA in Nepal's national budget. In Uganda, the integration of EbA in NDPII and NCCP provides an avenue for financing EbA through national resources.

Within the framework of the EbA project partnership, there is no planned follow-up phase/programme at the **global level**. When providing seed funding for implementing the EbA project, it was hoped that other donors would follow suit and commit funds to the EbA project, but this did not happen. Hence, at the time of project closure, opportunities for financing EbA exist only within the project countries. As EbA was incorporated in the countries' INDCs/NDCs and national and sectoral policies, co-funding possibilities exist through international climate change financing streams (like the GCF, AF etc.) and national budgets.

Relatively high risks to sustainability are seen due to potential changes in the framework conditions. For example, the project sustainability could be affected by natural emergencies as seen in Nepal. There, the earthquake in April 2015 shifted priorities of the government from environment management issues, and especially EbA to address the effects of the disaster. In addition, sustainability could be negatively affected by demographics. For example, in Uganda the region has high population densities and shortage of land (land per household is between 1-2 acres in some cases). Therefore, communities have been encroaching on Mt. Elgon National Park (a project site) to expand agricultural land, creating serious human-environment conflicts.

In general, political changes/strife could affect the sustainability of the project's results in the medium to long-term. However, this is an inherent problem and due to the increased awareness regarding EbA, this risk is not seen as high as others. Finally, economic risks are seen as likely, which are directly linked to the previous ones. For example, in cases of increased economic problems of the local population and/or in cases of political changes, short-term interests may overrule the long-term benefits of a suitable ecosystem management. This risk is evaluated as relatively high in all three countries.

3.6 Coherence, complementarity and coordination

This criterion proved to be difficult to assess as neither the project proposal nor the final evaluation report provides respective information. In particular, it is not apparent whether and to what extent the project concept was coordinated and/or harmonized with initiatives from other donors (including other German ministries / state agencies). For this reason, the respective indicator was not assessed as shown in the following table:

Criterion	**Overall evaluation question** Is the project complementary to interventions of other donors?	**Rating**
Coherence, complementarity and coordination	Degree of the project's complementarity towards other donors' projects (50%)	-
	Degree to which chosen cooperation forms during project implementation ensure an adequate coordination with other donors (50%)	2.0
Overall rating of coherence, complementarity and coordination		**2.0**

The available documentation does not provide information on the degree of coordination during project implementation. However, as in each country different stakeholders including ministries were involved in the monitoring of activities, it can be assumed that this process took place. In addition, the final evaluation report states that one of the key factors for project success was the effective coordination and implementation role of key partners (Governments/Ministries).

3.7 Project Planning and Steering

Criterion	Overall evaluation question Are the employed planning and steering processes appropriate for achieving the project's goals?	Rating
Project planning and steering	Degree of project planning quality (50%)	3.3
	Degree of project steering quality (50%)	2.5
Overall rating of project planning and steering		**2.9**

Project Planning: (grade 3.3)

The overall project planning is assessed as satisfactory, showing some strengths and weaknesses in specific points. The participation of stakeholders at international, national, sub-national and community levels is assessed very positively. The involvement of respective national and local governments in the project planning ensured that the project goals and objectives were consistent with their needs and facilitated ownership and buy-in. In addition, the project design recognized the benefit of adopting a participatory approach involving key stakeholders and communities in project activities. Participation was particularly ensured through signing agreements and MOUs with key partners prior to project start.

The involvement of local governments and communities in the VIAs, selection of pilot sites and prioritization of no regret measures and EbA options helped to ensure that their needs were taken into consideration, which again ensured community ownership and buy-in. Through this active participation of various stakeholders, the general ecological, social, institutional and economic framework conditions were adequately analyzed.

The EbA project proposal did not include an explanation of a theory of change (TOC), which was only included in the revised Project Document, elaborated in 2015 for internal UNEP reasons. However, this TOC did not cover the entire project duration. Despite this deficiency, the intervention logic itself - and in particular the detailed country proposals - showed a predominantly coherent intervention logic. It is observed that in the EbA proposal the link between the project measures, outputs and outcomes in the three selected countries with the overall project objective is missing. This was corrected only in 2015, when a component was added.

In addition, the EbA project proposal showed deficiencies in the formulation of coherent project objectives and outcomes, and did not provide objectively verifiable indicators. The country project proposals showed some more details, but this was not reflected in the EbA project proposal, which did not include a logframe. The EbA project proposal lacked as well financial information. According to the document, no financial break-down was provided, specifying budgets for the different project components and outputs.

The combination of the three main partners (UNEP, UNDP and IUCN) was target-oriented, with each partner making important contributions towards different project components and outputs according to their core competencies. However, one weakness was the insufficient alignment of different implementation approaches previous to project start. UN Environment preferred to start with developing tools and methodologies and implementing at a later stage. On the other hand, IUCN wanted to start implementation immediately based on its rapid participatory assessments. The country governments also wanted implementation quickly and were of the view that conducting VIAs as part of the planning phase would delay the desired implementation of project measures. UNDP preferred a participatory planning approach at country level.

A final deficiency is observed in the missing exit strategy. As mentioned above, the project proposal focused predominantly on the implementation of activities in the countries, but the

project did not have a clear exit strategy and the responsibilities for scaling-up project results and moving the process towards impact are not clearly allocated after project end.

Project Steering: (grade 2.5)

The main project implementation partners were UN Environment, UNDP and IUCN. UN Environment oversaw the overall project coordination and reported to BMU. Within countries, Ministries were the lead implementation partners. A Project Management Unit (PMU) was put in place in each country, headed by a National Programme Coordinator.

While the existence of various implementing partners at country level was beneficial to achieve synergies, there were some management complications. UNDP and IUCN received funding directly from UN Environment through their HQ implying that financial reporting was not harmonized in the two institutions, and this in a way constrained financial flexibility. However, this was later harmonized and an integrated reporting and monitoring mechanism was put in place.

Also, at country level, administrative challenges slightly affected the implementation of the project. For example, Country Project Coordinators were hired by UNDP and were looked at as UNDP staff with no mandate to coordinate the other partners' project activities. In the course of the project, this was harmonized and according to the final evaluation report coordination went on well.

Despite these difficulties, the overall project steering is seen as appropriate for the needs of the project. The established monitoring and evaluation system provided sufficient information on time, allowing for a continuous adjustment of the implementation plan. Nevertheless, the project implementation time had to be extended due to the difficulties encountered in particular at the beginning of the project.

3.8 Overall Project Evaluation

Criterion	Rating
Relevance	**1.9**
Effectiveness	**2.4**
Efficiency	**n.a.**
Impact	**2.1**
Sustainability	**3.0**
Coherence, complementarity and coordination	**2.0**
Project planning and steering	**2.9**

4 FINDINGS AND RECOMMENDATIONS

The evaluation results showed that project planning in 2010 was not detailed enough. While the country project proposals showed sufficient details (e.g. clear outcomes, outputs and indicators), the overall EbA project proposal missed a clear intervention logic and did not provide objectively verifiable indicators nor a logframe. In addition, the implementation approach and timelines were not aligned and linked between the three project partners, causing a significant delay of activities in its first year of operation. On the other side once these difficulties were overcome, the implementation approach was effective and smooth. Adaptive management measures were taken when needed to ensure that the project remained on track.

A further weak point of the EbA project proposal was the lack of an intervention strategy or logframe/theory of change. As a consequence, the link to achieve the overall project objective through the project outputs was not part of the proposal. This was later adjusted as well by adding a component, by expanding the timeframe and by increasing the budget from EUR 10 to 11.5 million.

A core factor contributing to the overall project success was the participatory approach used. A wide range of stakeholders, from local communities to sub-national and national governments, were involved in project delivery or were targeted for capacity building. Considerable effort went

into raising awareness on EbA and climate change adaptation as well as implementation of EbA options on the ground.

Likewise, a very good country ownership could be observed. Not only did the project respond to country needs for increasing ecosystem resilience and reducing vulnerability to climate change, moreover, the countries were actively involved in the selection of the specific pilot project sites and in project implementation.

Communication in general was difficult at project start, as no specific measures were foreseen. This was improved and significant effort went into raising public awareness later. For example, a range of communication material was prepared, public awareness workshops were convened and demonstrations of EbA practices were conducted. Various platforms/forums (websites, FEBA, COPs, CBA conferences etc.) were used to disseminate project achievements and success stories, contributing to the overall good project results.

In the sense of lessons learned it is recommended to pay more attention to the link between proposed outcomes and the overall project goal(s). In this regard, proper intervention logics and a sound theory of change should be a pre-condition for any project approval.

In addition, it is recommended that projects should explain in their concept their envisaged exit strategy. In particular, when further (financial) support is needed (e.g. for a widespread and continuous application of the project model), specific measures should be foreseen for achieving this support.

5 ANNEXES

5.1 Theory of Change

At the project start, no theory of change was elaborated, contributing to some weaknesses and omissions in the planned activities and envisaged outcomes. For the purpose of the final evaluation conducted in 2016 by UN Environment a reconstructed theory of change was elaborated (see final evaluation report, section 2.9).

5.2 Itinerary of desktop (and on-site) evaluation

Does not apply.

Date	Activity	Comments
dd/mm/yyyy		

5.3 List of interviewed persons

Does not apply.

Name	Organisation	Job title

5.4 List of data sources

- Project proposal
- Detailed draft country proposals
- Interim reports 2013, 2014 and 2015
- Project change amendments regarding project duration and addition of supplementary component
- Terminal Evaluation of the UN Environment Project “Ecosystem based Adaptation for Mountain Ecosystems (Nepal, Peru and Uganda)” (2017)

5.5 Summary of UN evaluation rating

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project’s objective and components are highly aligned to countries’ development, environment and climate change needs and priorities. The project is also relevant and consistent to UN Environment policies and programmatic objectives.	Highly Satisfactory
B. Achievement of outputs	Almost all the outputs were satisfactorily achieved based on the logframe indicators. The technical outputs for all components were of high quality. Outputs on outcomes 3, 4 and 5 were exceptionally achieved.	Satisfactory
C. Effectiveness: Attainment of objectives and planned results	The project’s planned results were achieved, and represent key steps towards the intermediate state. Countries’ capacity to apply EbA to build mountain ecosystem resilience and reduce vulnerability of mountain communities to climate change was strengthened. Overall, countries can plan, implement and monitor EbA at ecosystem level.	Satisfactory
1. Achievement of direct outcomes as defined in the reconstructed TOC	The direct outcomes of the project were achieved. EbA tools and methodologies (VIAs) were developed and applied at ecosystem level. EbA options were prioritized and implemented at ecosystem level. An economic and policy change case was made for adoption of EbA at national and global level. In countries, drivers were catalyzed for integration in national and sectoral policies. The lessons learned and best practices have been documented and disseminated.	Satisfactory
2. Likelihood of impact using ROtI approach	The project outcomes achieved have implicit forward linkages to intermediate states and impacts. However responsibilities have not been clearly allocated after the end of the project. A follow up phase is necessary.	Moderately Likely
3. Achievement of formal project objectives as presented in the Project Document.	The project’s formal objectives were achieved. Capacity to apply EbA was strengthened. There is increased EbA awareness and knowledge and awareness. Decision-makers have confidence in EbA and are committed to apply it.	Satisfactory
D. Sustainability and replication	The project built on successful experience or lessons learned of previous initiatives. Strong capacity building and demonstration of EbA options at ecosystem/community levels that are beneficial after the project implementation period. However, financial	Moderately Likely

Criterion	Summary Assessment	Rating
	sustainability is less likely because there are no indications of continued financial assistance after the end of the project. No deliberate exit strategy was mentioned in the ProDoc.	
1. Socio-political sustainability	The project was implemented in a participatory manner and succeeded in getting political buy-in and ownership. It generated considerable social and political support at national, local and community levels; and succeeded in influencing policy at local and national levels. In addition, the project contributed to increased global EbA debate and policy. Therefore, the socio-political environment is conducive to sustaining the project outcomes.	Likely
2. Financial resources	The project succeeded in building a case for EbA financing in Nepal and Peru, though it did not do so in Uganda. There is need for follow-up funding to upscale project achievements.	Moderately Likely
3. Institutional framework	The project built strong partnerships with a number of national and sub-national government institutions, NGOs and communities. Strengthening the capacity of government institutions and communities will ensure the continuation of project outcomes.	Highly Likely

5.6 Abbreviations

BMU	Ministry for the Environment, Nature Conservation and Nuclear Safety
CBA	Cost Benefit Analysis
COP	Conference of Parties
DO	Implementing agency
EbA	Ecosystem based Adaptation
ELAN	Ecosystems Livelihoods Adaptation Networks
GAN	Global Adaptation Network
ICI	International Climate Initiative
INDC	Intended Nationally Determined Contributions
IUCN	International Union for Conservation of Nature
M&E	Monitoring and Evaluation
MDTF	Multi Donor Trust Fund
NAPA	National Adaptation Programme of Action
NDCs	Nationally Determined Contributions
OVI	Objectively verifiable indicator
PB	Programme Office International Climate Initiative (“Programmbüro”)
UNDP	United Nation Development Programme
UNEP	United Nation Environment Programme
UNFCCC	United Nation Framework Convention on Climate Change
TOC	Theory of Change
VIA	Vulnerability Impact Assessment

WCMC	World Conservation Monitoring Centre