

Federal Democratic Republic of Ethiopia  
Environmental Protection Authority

Final Evaluation Report  
of  
African Adaptation Programme:  
*Supporting Climate Resilient  
Sustainable Development in Ethiopia*

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## Table of Content

List of Acronyms.....	iii
<b>1 Executive Summary.....</b>	<b>1</b>
1.1 <i>Brief description of project</i> .....	1
1.2 <i>Context and purpose of the evaluation</i> .....	1
1.3 <i>The evaluation approach and method</i> .....	2
1.4 <i>Main achievement</i> .....	2
1.5 <i>Main Conclusions</i> .....	3
1.6 <i>Recommendations</i> .....	4
<b>2 Introduction.....</b>	<b>6</b>
2.1 <i>Purpose of the final evaluation</i> .....	6
2.2 <i>Key issues addressed</i> .....	6
2.3 <i>Methodology of the evaluation</i> .....	8
2.4 <i>Structure of the evaluation</i> .....	8
<b>3 The Project and its Development Context.....</b>	<b>9</b>
3.1 <i>Project start and its duration</i> .....	9
3.2 <i>Challenges that program sought to address</i> .....	10
3.3 <i>Objective and goal of the project</i> .....	11
3.3.1 Goal of the project.....	11
3.3.2 Project Objective.....	<a href="#">1112</a>
3.3.3 Expected outputs.....	<a href="#">1112</a>
3.4 <i>Main stakeholders</i> .....	12
<b>4 Findings and Conclusions.....</b>	<b><a href="#">1213</a></b>
4.1 <i>Project Formulation</i> .....	<a href="#">1213</a>
4.1.1 Formulation processes.....	<a href="#">1213</a>
4.1.2 Stakeholder participation.....	<a href="#">1314</a>
4.1.3 Replication approach.....	15
4.1.4 Cost effectiveness.....	<a href="#">1516</a>
4.1.5 Linkage of the program and other interventions within the sector.....	16
4.1.6 Management arrangement.....	17
4.1.7 Indicators.....	20
4.1.8 General strengths and weaknesses of project formulation.....	20
4.2 <i>Project Implementation</i> .....	<b>21</b>
4.2.1 Delivery.....	21
4.2.2 Financial management.....	<a href="#">2122</a>
4.2.3 Monitoring and evaluation.....	22
4.2.4 Implementation Modalities.....	23
4.2.5 Coordination with WFP, UNICEF and UNDP.....	<a href="#">2425</a>
4.2.6 Coordination with other partners and operational issues.....	<a href="#">2526</a>
4.3 <i>Results</i> .....	<b>26</b>
4.3.1 Attainment of Objective/Goal.....	26
4.3.2 Attainment of Outputs.....	<a href="#">2627</a>
4.3.3 Sustainability.....	33
4.3.4 Replicability.....	<a href="#">Error! Bookmark not defined.</a> <a href="#">Error! Bookmark not defined.</a>
<b>5 Lessons Learned.....</b>	<b><a href="#">3435</a></b>
<b>6 Conclusions and Recommendations.....</b>	<b>37</b>
6.1 <i>Conclusions</i> .....	37
6.2 <i>Recommendations</i> .....	<a href="#">3738</a>
<b>Annexes.....</b>	<b><a href="#">3940</a></b>
Evaluation ToRs, itinerary and list of persons interviewed.....	<a href="#">3940</a>
ANNEX 2. LIST OF KEY PERSONS MET.....	<a href="#">4748</a>
ANNEX 3. Documents Reviewed.....	<a href="#">4748</a>

## List of Acronyms

AAP	African Adaptation Program
ALM	Adaptation Learning Mechanism
AWP	Annual Work Plan
CAI	Climate Action Intelligence
CC	Climate Change
CCA	Climate Change Adaptation
CRGE	Climate Resilient Green Economy
DDG	Deputy Director General
EPA	Environmental Protection Authority
EPACC	Ethiopian Plan of Action to Adapt to Climate Change.
GEF	Global Environment Facility
GOJ	Government of Japan
GTP	Growth and Transformation Plan
LOA	Letter of Agreement
LRP	Leadership Results Program
M&E	Monitoring and Evaluation
mMSRr-	A Mechanism to Motivate, Support and Reward Result
MoA	Ministry of Agriculture,
MoE	Ministry of Education
MoFED	Ministry of Finance and Economic Development
MoH	Ministry of Health
MoI	Ministry of Industry
MoM	Ministry of Mines,
MoWCYA	Ministry of Women, Children and Youth Affair
MoWE)	Ministry of Water and Energy
MRV	Measuring, Reporting and Verification
MTR	Mid-term review
NCCF	National Climate Change Forum
NEX	National Execution
NMSA	National Meteorological Services Agency
NPM	National Project Manager
NRE	Natural Resources and Environment
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PCU	Project Coordination Unit
PMT	Project Management Team
PPR	Project Progress Reports
PSC	Project Steering Committee
QPR	Quarterly Progress Report (
RMG	Results Management Guidelines
SDPASE	Sustainable Development of the Protected Area System in Ethiopia
SRR/LR	Disaster Risk Reduction and Livelihoods Recovery
TICAD	Tokyo International Conference on African Development
TWG	Technical Working Group
UNDP	United Nations Development Program
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
WFP	World Food Program

**Evaluation Team:**

The evaluation was conducted by two National Consultants, namely Dr. Tadesse Woldemariam Gole (Lead Consultant) and Mr. Million Bekele (Consultant). Dr. Tadesse is forest ecologist by training, has over 19 years experiences in research, teaching and consultancy works. His areas of expertise include natural resources management, conservation planning, biodiversity conservation, climate change, carbon projects development, environmental impact assessment, project documents preparation, and project impact evaluation. He is currently employed as Director of Environment and Coffee Forest forum (ECFF), a non-profit research and development organization in Ethiopia.

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# **1 Executive Summary**

## ***1.1 Brief description of project***

The Africa Adaptation Program (AAP) in Ethiopia is funded by the Government of Japan and implemented through the United Nations Development Program (UNDP). Its implementation started in April 2010. The project is classified as NEX, nationally executed project and the Principal Implementing Agency is the Federal Environmental Protection Authority (EPA). The total budget of the project is US\$ 6,482,749.

The objective of AAP is to establish an integrated approach to Ethiopia's management of climate change opportunities and risks. It supports to achieve transformational change, designed to elevate climate change adaptation planning and interventions from a mono-project and sectorial based approach to a comprehensive and strategic approach, characterized by multi-sectorial integrated planning.

It focuses on strengthening capacity in five areas that are crucial to designing and implementing a resilient development agenda, namely Institutional Leadership and Capacity Development; implementing climate-resilient policies in priority sectors; Innovative Finance and Knowledge Management. Key elements include mainstreaming adaptation measures into the national development processes that are achieved by assisting key ministries and regional state to integrate the National Adaptation Strategy into the budgeting cycle.

## ***1.2 Context and purpose of the evaluation***

The objective of the Evaluation was to critically assess the stages of the project and its products through review of documents and stakeholders interview, measuring to what extent the objectives and outputs have been achieved against the results and resources framework, and identifying factors that have hindered or facilitated the success of the project. It was carried out to provide a comprehensive and systematic account of the relevance, success and performance of the AAP project by assessing the project design, process of implementation and results as they relate to the project output targets. It aimed at capturing key lessons to assess what adaptation approaches/measures were effective in various thematic areas, promoting AAP's lessons so that the legacies of the AAP will be replicated and generating recommendations that could be utilized in similar projects in the future

### **1.3 The evaluation approach and method**

The evaluation team was guided by evaluation criteria and guidance given in the Terms of Reference in conducting this final evaluation and preparing the report. The evaluation approaches included review of documents, interviews and follow-up inquiries. The evaluation was conducted in a participatory manner through a combination of processes. More attention has been given to project accomplishments against the planned actions.

### **1.4 Main achievement**

The main achievements of AAP Ethiopia are:

- Conducted baseline studies on climate change vulnerability, adaptation capacity and adaptation options and indicative costs at regional and sectorial levels;
- Supported formulation of the Climate Resilient Green Economy (CRGE) Strategy and development of the Ethiopian Plan of Action to Adapt to Climate Change (EPACC);
- Initiated climate change mainstreaming activities in Sector Ministries and Regional states;
- Supported the establishment of technical working groups (TWG) within 12 sectoral institutions and at 9 regions and 2 city administrations. These institutions have developed their respective climate change adaptation plans;
- Sensitization of the members of parliament through workshops and seminars on: Awareness on Climate Change; Mainstreaming Climate Change in Development Programmes; Climate Change, Environmental Issues and Ethiopia's Negotiation Position; Climate Resilient and Building Green Economy; Climate Resilient Green Economy; and Green Economy Strategy and Vision of Ethiopia;
- 9 regional states and 2 city administrations prepared Green Growth Investment Plans;
- Carried out leadership capacity building activities and climate change adaptation actions at Woreda level;
- 16 green technologies piloted in 97 woredas selected from different national regional states;
- Over 300 parliamentarians, the heads of eleven regional environment bureaus and 13 department heads from sector ministries have participated in the sensitization program on CC risks and opportunities.
- 46 experts and middle level decision makers from 9 sectorial institutions participated in the Leadership for Results Program (LRP) training in three rounds;
- Climate Action Intelligence (CAI) training was given to 20 participants from different organizations including EPA and UNDP and assessment and design proposal for establishment and maintenance a climate action intelligence and National Registry System for Ethiopia developed
- Climate change adaptation regional information toolkits for local adaptation and planning purposes have been completed;

- The implementation of demonstration projects of good practices have been documented and disseminated in the form of a booklet and documentary films
- A Mechanism to Motivate, Support and Reward Result (mMSRr) has been designed and launched in regional states level, engaging both the sectors and regional state agencies.
- .
- The development planning at national level has incorporated CC by the coordinating agency, MoFED, during the preparation of the current medium-term development plan, the GTP;
- AAP built capacities to design and implement financing options. Sectorial offices and regional bureaus have worked toward the estimation of costs of implementation their climate change adaptation plans;
- Financing options have been realigned from past practices to meet national adaptation costs and complement resources emerging through donor and other assistance program. Continuous support of AAP has contributed to the establishment of the Ethiopian CRGE Facility as a financing mechanism to CC.
- The regional states have also decided to allocate 2% of their budget for environment, which is a new development attributable to AAP.
- A documentary video on environmental education and protection was also produced;
- Compendium on green technologies prepared with the objective of providing basic information on the identified technologies for scaling up;
- a platform for documenting and disseminating model school-based activities has been established (<http://www.ccee-ethiopia.org>)
- Web based climate change Knowledge Management platforms established at the EPA;
- Teachers have been trained to develop environmental club action plans.
- Around 12 schools identified were provided with solar powered water pumps.
- Around 562 schools and 2812 teachers were covered through a mechanism of sharing new information and innovations through Cluster Schools
- Supported the development of strategies and guidelines, including: “Knowledge Management and Communication Strategy for Climate Change Adaptation in Ethiopia” and “Journalist’s Guide to Reporting Climate Change Adaptation Issues in Ethiopia”.
- Recruited full-time national and regional project coordinators, and provided necessary facilities for coordination.

### **1.5 Main Conclusions**

- The concept of the design project with multiple implementing agencies and stakeholders is highly innovative and appropriate to deal with complex issues like climate change. But, consultations with key stakeholders were not thorough enough to clearly define their roles and responsibilities,

which led to delays in starting project implementation. The project implementation period was also too short for such a project with multiple outputs activities.

- Climate change issues were only dealt with ad hoc committees in the past. The AAP has contributed to the development of national strategies and integration of the issues into national and local development plans.
- AAP has also initiated cooperation between various stakeholders, consolidated fragmented efforts and generated adaptation technologies in short time.
- The AAP was very instrumental in sensitization, awareness raising and compilation of good practices on climate change adaptation for wider dissemination.
- The project has enhanced the capacity of many stakeholders through several trainings workshops and seminars on climate change adaptation and mainstreaming into development plans.
- The strong focus given to demonstration projects and scaling up efforts in the implementation of Ethiopian AAP project is highly commendable. However, the level of engagement by relevant sectorial ministries for the demonstrated adaptation projects was not adequate for smooth takeover and dissemination of the technologies in the future. Besides, the project focused on material supply only, with little attention to building capacities of communities and development agents to adopt and operationalize the technologies.
- Delivery of the project outputs was outstanding. However, it was not well communicated to stakeholders to increase impact.

### **1.6 Recommendations**

Based on the lessons learned from AAP project implementation in Ethiopia, the following recommendations are forwarded for similar project innervations in the future:

- The project design should be home-born, bottom-up and participatory in which the roles and responsibilities of key stakeholders well defines, with proportional resources distribution.
- The coordinating agency should have strong mandate to supervise the works of all implementing partners. Such agency should also have strong capacity to communicate with all stakeholders, including the public and hence have communication/outreach specialist as project management team member.
- Financial transactions from UNDP should directly go to each implementing agency/ partner directly, to shorten the transaction chains and time, so that activities are implemented in time.
- Documentation of “lessons learned” from completed works should guide future program design, delivery and management processes.



- Emphasis should be given to continuously build capacities and provide technical support to key federal and regional sector institutions that implement adaptation technologies.
- Knowledge sharing system should be established from the start of project since there are valuable lessons to be extracted both in project preparation and implementation.
- Follow-up of trainings like LRP and CAI with implementation activities or adequate intents of such capacity works should clearly demonstrate to the beneficiaries, since some misunderstandings were observed by the evaluation team.
- Support development of fundable investment plans to operationalize the sectorial and regional adaptation plans, as a follow-up of AAP project.
- Develop mechanisms for fund mobilization from local sources through “green tax” and other appropriate mechanisms.
- Develop flexible operational modalities for the CRGE strategy to attract more funds from all potential donors and disburse the funds to projects with high social, economic and environmental benefits.

## 2 Introduction

### 2.1 Purpose of the final evaluation

This Final Evaluation Report contains a detailed list of lessons learned. The evaluation report aimed at critically assessing the stages of the project and its products through review of documents and stakeholders interview, measuring to what extent the objective/outputs/activities have been achieved against the results and resources framework, and identifying factors that have hindered or facilitated the success of the project. This evaluation is carried out to provide a comprehensive and systematic account of the relevance, success and performance of the AAP program by assessing the program design, process of implementation and results as they relate to the project output targets. It is aimed at capturing key lessons to assess what adaptation approaches/measures were effective in various thematic areas. This part is therefore forward-looking and aimed at promoting lessons so that the legacies of the project will be replicated and sustained beyond the project lifetime.

### 2.2 Key issues addressed

AAP *Ethiopia* was evaluated using the following criteria: relevance, effectiveness, efficiency, timeliness, and sustainability. The final evaluation focused on the following aspects: A) program objective/outputs; B) processes; C) sustainability of results; D) monitoring and evaluation; and E) conclusions and lessons learned. The evaluation addressed the following key issues:

- Assessment of the effectiveness and efficiency of project activities
- Evaluation of the progress in the achievement of outcomes/outputs, measured against the baselines and indicators set at the outset of the project
- Institutional arrangement during formulation and implementation stages
- Assessment of stakeholders perception regarding the consultative processes
- Assessment of technical support by global and regional teams during formulation and implementation, and capacity building initiatives
- Complementarities activities by the country and stakeholders with the project activities.
- Assessment of national level involvement and perception of partners, local partnerships and their involvement, and collaboration between government, non-governmental organizations, the private sector, and regional/international organizations

- Evaluation of project administration procedures, milestones (log-frame matrix, RRF), key decisions and outputs
- Review of project oversight and active engagement by UNDP Country Office and the project board
- Coordination between UNDP Country Office and government executing agency, and with WFP and UNICEF
- Overview of actual spending against budget expectations, and analyses disbursements to determine whether funds have been applied effectively and efficiently
- Effectiveness of project document to provide adequate guidance on how to allocate the budget
- Audits and any issues raised in audits and subsequent adjustments to accommodate audit recommendations
- Review budget revisions and provide an opinion on the appropriateness and relevance of such revisions
- Appropriateness and efficiency of coordinating mechanisms and approaches between implementing partners and oversight bodies
- Evaluate AAP's strategy to promote the sustainability/reliability of results
- Identify problems/constraints, which impacted on successful delivery of the project at the project design stage and subsequently as part of the Mid-Term Review (MTR)
- Identify threats/risks to project success that emerged during implementation and strategies implemented to overcome these threats/risks
- Analyze impact of MTR recommendations
- Assess the Monitoring & Evaluation systems and plans, whether they were well designed, implemented and budgeted, and their contribution to the compulsory quarterly and annual reporting processes at the national and regional levels
- Assess the extent, appropriateness and effectiveness of adaptive management at all levels of the project implementation
- Assess substantive reports (e.g. risk assessment, progress reports of certain adaptation measures, lessons learned documents)

The evaluation report also focused on recommendations and lessons learnt for broader follow up application and future intervention by UNDP and the government, highlighting best practices.

### ***2.3 Methodology of the evaluation***

The evaluation team was guided by evaluation criteria and guidance given in the Terms of Reference in conducting this final evaluation and preparing the report. The evaluation approaches included review of documentation, interviews and follow-up inquiries. The evaluation was conducted in a participatory manner through a combination of processes. More attention has been given to project accomplishments against the planned actions.

The evaluation team began with kick-off meeting held at UNDP CO on 04 February 2013 in order to reach common understanding on the evaluation process, and identify key institutions and individuals to be consulted, to ensure participation. Relevant project documents were obtained from project managers and officers at EPA, UNDP, WFP and UNICEF. The documents reviewed include initial project document, quarterly/annual progress reports, annual work plans of various implementation task teams, climate change adaptation good practice reports, Mid-Term Review report, field evaluation reports, financial reports, mission reports, strategy documents, guidelines/discussions papers, minutes of project steering committee meetings, sectorial adaptation plans, and monitoring and evaluation framework.

The team conducted interviews with key stakeholders and project implementers. Face to face structured interviews with key stakeholders at federal EPA, UNDP CO, MoA, Project Steering Committee members, WFP and UNICEF were conducted. The evaluation criteria included: relevance, effectiveness, efficiency, timeliness, and sustainability. The team validated information in quarterly progress reports and technical reports produced by consultants during the face-to-face interviews as much as possible. Furthermore, the evaluation team looked at (i) major challenges/problems/constraints faced during implementation, (ii) measures taken to overcome challenges, (iii) key lessons learned and (iv) recommendation for similar interventions in the future.

### ***2.4 Structure of the evaluation***

The evaluation was conducted by two national consultants, and was scheduled to take place between January 30 and February 20, 2013. The evaluation process comprised of four phases. The first phase was information collection and review phase, i.e., review of relevant documents obtained from the project managers and officers at UNDP, EPA and UNICEF. The second phase involved discussions and interviews of key project stakeholders, beneficiaries of capacity building initiatives and parties directly involved in the implementation. The third phase involved analysis of the assessment and drafting the report. The draft report was submitted to the Project Managers at UNDP Country Office. The fourth phase involved refining the draft, in line with the comments received, and producing the final evaluation report.

This evaluation report was conducted under immense time limitation. The time allocated for the whole evaluation work was 15 days, including the weekends. Hence, the evaluation process was limited to reviewing relevant documents and interviews with key stakeholders. Besides, some key informants at different ministries were not available during the evaluation period, since they were away from office for other missions.

### 3 The Project and its Development Context

#### 3.1 Project start and its duration

The project was initiated in 2008 by the United Nations Development Program (UNDP) in partnership with the United Nations Industrial Development Organization (UNIDO), the United Nations Children’s Fund (UNICEF) and the World Food Program (WFP) and with US\$92.1 million support from the Government of Japan. The AAP was established under the Japan-UNDP Joint Framework for Building Partnership to Address Climate Change in Africa, which was founded at the Fourth Tokyo International Conference on African Development (TICAD) in May 2008.

The AAP project was formulated regionally and implemented in 20 African countries, including Ethiopia. The planned project started date was December 2009. But, preparation of the Ethiopian part of the project, Supporting Climate Resilient Sustainable Development, was finalized agreed by the government in February 2010. The project was launched with the inception workshop on 26-27 April 2010, co-organized by the Environmental Protection Authority (EPA) and United Nations Development Program (UNDP)-Ethiopia. A total of 103 participants from federal sector institutions, nongovernmental organizations, regional environmental bureaus and donor communities took part in the workshop. The planned project duration was from March 2010 to December 2011, but was extended to December 2012 due to slow start.

<b>Milestone</b>	<b>Expected date</b>	<b>Actual date</b>
Project approval/ endorsement date		14 October 2009
Agency Approval (UNDP)		09 December 2009 (authorization letter for CO to sign agreements)
Agreed by (Government)		09 February 2010
Agreed by (Executing Entity)		09 February 2010
Agreed by UNDP CO		09 February 2010
Agreed by UNICEF		27 October 2010

Agreed by WFP		5 November 2010
Implementation start date	December 2009	April 2010
End Date	December 2011	February 28, 2013

### **3.2 Challenges that program sought to address**

Ethiopia has implemented successive medium term development plans over the past decade. During the implementation of the last completed medium-term development plan entitled “A Plan for Accelerated and Sustained Development to End Poverty (PASDEP 2005-2010), a number of challenges and issues have been raised in Annual Progress Reports (2005/06 and 2006/07). Low level of per capita aid, unpredictability of aid, still low levels of productivity of agriculture, vulnerability to both external and domestic shocks, pressure on the Balance of Payments due to the recent oil price increase, inflationary pressure largely driven by food price inflation, and weak implementation capacity at Woreda level are some of the major outstanding challenges. In addition, there is a growing understanding that climate variability and change add a further challenge to sustaining development in Ethiopia.

Seventy per cent of Ethiopia is arid, semi-arid, or categorized as dry sub-humid (EPA, 2004) which are prone to desertification and drought. In addition, the Ethiopian highlands are fragile because of over cultivation, overgrazing, erosion, and deforestation. The country is expected to experience changing patterns of rainfall, flooding and increased temperatures. The result will be elevated evapo-transpiration rates, leading to greater levels of land degradation, transmission of infectious diseases, and loss of hydro-electricity. Therefore, building resilience against the negative impacts of climate is a priority issue.

Ethiopia faces the following challenges to managing climate change risks and opportunities:

- Current adaptation initiatives are limited in scope and scale, and their impacts are neither cohesive nor sustainable;
- individual, institutional and systemic capacities to assess and manage climate change risks are not developed sufficiently to create an enabling environment, with corresponding political and social champions to support the formulation and implementation of efficient solutions to a problem that has complex multi-sectorial effects;

- limited knowledge of the most appropriate adaptation policies and measures weakens the development of the right institutional capacities to support climate risk management;
- limited financing options to sustain scaled-up adaptation is a constraint to testing and demonstrating possible solutions and developing the requisite institutional and technical capacities; and
- It is difficult for different communities with different capacities to learn from each other about their experiences with different approaches to adaptation.

The rural poor will be disproportionately vulnerable to the effects of climate change in Ethiopia because of their greater dependence on agriculture and their lack of awareness of and lower ability to adapt new technologies. Still, in some areas farmers are already planting different crop varieties, changing planting dates and adapting practices to a shorter growing season. In spite of this, local peoples' traditional and other tried and tested coping strategies alone are no longer sufficient to cope with the intensity and frequency of current climate changes. They also see their adaptation possibilities and abilities hampered by limited resources, lack of technology and various legal and institutional barriers. Climate change magnifies existing problems and erodes local peoples' adaptive capacity and community resilience. This AAP project aimed at laying a foundation for systematic action across all levels of development planning and implementation (national, sub-national, local) to bring sustainable development in Ethiopia, integrating climate and development.

### ***3.3 Objective and goal of the project***

#### **3.3.1 Goal of the project**

The goal is to enhance the adaptive capacity of vulnerable sectors and communities and promote early adaptation action and lay the foundations for long-term investment to increase resilience to climate change.

#### **3.3.2 Project Objective**

- To establish an integrated approach to Ethiopia's management of climate change opportunities and risks.

#### **3.3.3 Expected outputs**

From the onset, the project had 5 specific outputs detailed in the project document. A sixth output was added on the 3<sup>rd</sup> revised Annual Work Plan. The six major outputs are:

1. Output 1: Dynamic, long term planning tools/ mechanisms to manage the inherent uncertainties of climate change introduced

2. Output 2: Leadership capacities and institutional frameworks to effectively manage CC risks and opportunities in an integrated manner at the local and national levels built
3. Output 3: Climate resilient policies and measures implemented in priority sectors
4. Output 4: Financing options to meet the national adaptation costs expanded at the local, regional and national levels
5. Output 5: Knowledge on adjusting national and sub-national development processes to fully incorporate climate change risks and opportunities generated and shared across all levels

### **3.4 Main stakeholders**

The project involved an extensive range of local stakeholders and beneficiaries, including:

1. MoFED, EPA, UNDP, UNICEF, WFP, Regional bureaus of REPA, NMSA, woreda administrations, Research and training institutions, Parliamentary NRE sub-committee, ministry of Water and Energy, Ministry of Education and Ministry of Agriculture were all the main stakeholders involved
2. MOFED and EPA are the executing bodies of the project, while WFP and UNICEF are collaborating agencies and UNDP is responsible for the overall performance of the project and answerable to the donor
3. UNICEF and WFP support education, water, agriculture and communication sectors. The implementing partner ministries included the Ministry of Agriculture (MoA), Ministry of Education (MOE), Ministry of Water and Energy (MOWE), Ministry of Health (MOH), and their respective Bureaus at regional states level and lower administrative levels. Several NGOs have also taken part on project implementation directly or indirectly, while some have benefited from capacity building trainings offered by the project. The private sector was represented by the Chamber of Commerce on different events during implementation.

## **4 Findings and Conclusions**

### **4.1 Project Formulation**

#### **4.1.1 Formulation processes**

AAP is a regional program that tends to deal with capacity building and awareness creation related to climate change adaptation. From the discussions with key stakeholders and review of document, it appears that the formulation of the AAP project was a top-down: the same project design for all 20 African countries, though all have their own problems and demands. Hence, the targets and actions set did not adequately address the need of the stakeholders. The project is also unique in that it involved



multiple UN Agencies (WFP, UNDP and UNICEF), and several sector ministries and administrative levels in Ethiopia. This is an innovative approach, since addressing the challenges of climate change demands concerted efforts of multiple disciplines, institutions and citizens. However, the signed project document was a general model for Africa, and not fine-tuned to fit the local context of Ethiopia. The project was launched with a two days inception workshop; where over 100 participants from different institutions participated. But, the consultations were not adequate to work out the roles and responsibilities of all stakeholders, which led to weak coordination and slow start up at the beginning. Some implementing agencies were also given responsibilities for the components that were not their comparative advantage; for instance, knowledge management for UNICEF.

The Results and Resources Framework given in the project document appears to be complex, compared to familiar project Logical Framework. It lacks indicators at outcome and objective level, making it difficult to assess achievements at these levels. Since the project design was at regional level, the Annual Work Plan was revised three times to customize it to the country needs. In the revised AWP, strong attention was given to implementation of climate change adaptation technologies and good practices, at a broader level than originally planned in the Project Document.

#### **4.1.2 Stakeholder participation**

Stakeholders' participation is considered to be very critical for such project dealing with multifaceted problems. The project design provided framework for participation of different stakeholders, which are grouped as follows for better understanding:

- **National authorities:** this includes government bodies like the Parliament (the House of People's Representative and the House of Federation), the Environment Council/Office of the Prime Minister, the Ministry of Finance and Economic Development (MoFED), Environmental Protection Authority (EPA), the Ministry of Agriculture (MoA), the Ministry of Water and Energy (MoWE), the Ministry of Health (MoH), the Ministry of Education (MoE), the Ministry of Women, Children and Youth Affairs (MoWCYA), the Ministry of Mines (MoM), the Ministry of Industry (MoI) and National Meteorological Services Agency (NMSA).
- **UN Agencies:** UNDP as the owner of the project in collaboration with WFP and UNICEF
- **Regional states agencies:** The nine regional states of Ethiopia and two city administrations, with their respective organs down to the lowest administrative levels.
- **Academic institutions and universities:** Agricultural research institute and higher learning institutions

- Private sector
- Civil Society Organizations/ Non-Governmental Organizations
- General Public

Active interactions between all stakeholders groups have taken place during the formulation phase, particularly project inception workshop, and various events during the implementation phase, including various sensitization and awareness raising workshops, and capacity building training workshop (LRP, CAI). Key federal and regional states stakeholders have also took part on preparation of sectorial and regional adaptation plans, and implementation of some demonstration projects of selected adaptation technologies.

The stakeholders refined the actions under all outputs and activity results to meet the national needs and priorities during the project inception workshop and follow up Project Steering Committee (PSC) meetings. The project has been designed in such a way that it is overseen by PSC, which is the highest decision making organ of the project. The project document also shows that the PSC is housed at the MoFED, and chaired by the Director of Multilateral Projects. Later, however, it was amended in such a way that the PSC is chaired by the Deputy Director General of EPA (co-chaired by UNDP), and also housed at EPA. The PSC was designed in such a way that key stakeholders are represented, and include: MoFED, EPA, UNDP, UNICEF, WFP, MoA NMSA, MoWE. MoE, MoH, UNDP, UNICEF and WFP.

The PSC planned to meet at least once in a year to discuss project progress and approve annual work plans. The roles of the PSC are to: supervise and approve the appointment of project staff and short-term consultants; supervise project activities through monitoring progress; review and approve work plans, financial plans and reports; provide strategic advice to the Project Coordination Unit (PCU) for the implementation of project activities to ensure the integration of project activities with poverty alleviation and sustainable development objectives; ensure inter agency coordination through the Technical Working Group (TWG) and National Climate Change Forum (NCCF); ensure full participation of stakeholders in project activities; provide technical backstopping to the project; assist with organization of project reviews and contracting consultancies under technical assistance; and provide guidance to the project management team (PMT).

The main project partners were primarily government officials. Technical staffs from ministries were also involved as the responsible persons for the implementation process through contributions at the (TWG) level within their institutions. There was, however an underrepresentation of the private

sector, civil society organizations and NGOs. A wider representation of NGOs and private sector could have guaranteed diversification of membership and enhance the type of contribution.

#### **4.1.3 Replication approach**

The planned replication approaches in the Project Document are balanced and in line with the country's strategy. It was planned to disseminate the results within and beyond the project intervention zone through a number of existing information sharing networks and forums. Additionally,

1. The project planned to use adopt electronic platform to capture project learning and adaptation impacts through Adaptation Learning Mechanism (ALM). Adaptation-related activities from the project were supposed to contribute knowledge to the ALM, such as:
  - best practices in integrating adaptation into national and local development policy, and project design and implementation mechanisms;
  - lessons learned on removing the most common barriers to adaptation, with special attention to the roles of local partners, international partners, and UNDP in designing and implementing projects
  - The conditions for success (or failure), including replication and scaling up.
2. the project planned to identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned; .
3. The project also planned to identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identification and analysis of lessons learned is an on-going process, and the project planned to deliver at least once every 12 months.
4. The project planned to influence national and regional states planning, so climate change adaptation is mainstreamed in development plans and budgeted for.
5. The project is also planned to identify adaptation technologies, implement in selected demonstration sites and recommend strategy for scaling up to all parts of the country within the coming 10-15 years.

#### **4.1.4 Cost effectiveness**

As per Project Document, the total budget is US\$ 6,482,749. By the time of evaluation process in February, all activities planned in the project document and revised in subsequent Annual Work Plans

were accomplished, spending around 97% the financial resources. The project has over achieved in some outputs and under achieved in some outputs. Even if we have not done in-depth cost analysis, the project appears to be cost effective.

#### **4.1.5 Linkage of the program and other interventions within the sector**

The project's design with multi-institutions and multi-focus is well aligned with Ethiopia's sustainable development strategy and UNDP's country program goal in the area of environment and sustainable development. The GoE has adopted its Climate Resilient Green Economy (CRGE) strategy in 2011. The vision of CRGE strategy is to achieve middle-income status by 2025 in a climate-resilient green economy development pathway, i.e., achieve development while limiting 2030 GHG emissions to around the 2010 emission level. The CRGE strategy is being mainstreamed into all sector development plans, including the current medium-term development plan, GTP. The GoE has launched CRGE facility for the implementation of the CRGE Strategy. The Facility is a credible instrument that meets international fiduciary standards and strong Measuring, Reporting and Verification (MRV) requirements. UNDP is an Interim Trustee of the Facility. AAP has supported several consultations and preparatory works towards the development of CRGE strategy. The Resilient Strategy which deals with building adaptive capacity of the country is also being finalized.

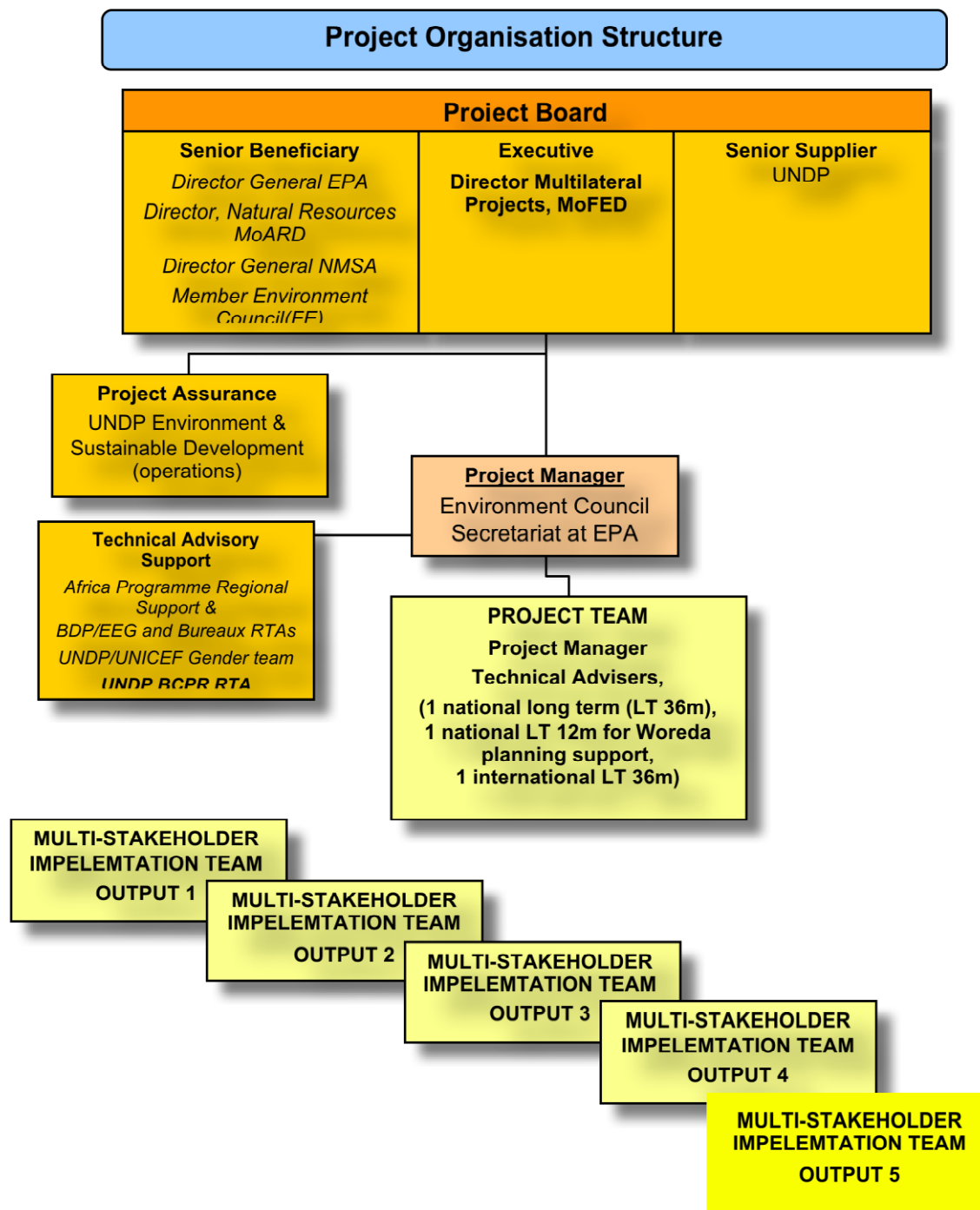
UNDP's country program goal in the area of environment and sustainable development is to strengthen national capacity to manage the environment in a sustainable manner while ensuring adequate protection of the poor. UNDP aims to achieve to:

- mainstream environmental and energy issues into development planning;
- mobilize finance for improved environmental management;
- address increasing threats from climate change; and
- build local capacity to better manage the environment and deliver services, especially water and energy.

Beside this AAP project, UNDP is currently implementing a number of other related projects, including: Sustainable Development of the Protected Area System in Ethiopia (SDPASE); Climate Change and Environmental Sustainability; Strengthening National Capacities for Disaster Risk Reduction and Livelihoods Recovery (DRR/LR); Mainstreaming Agrobiodiversity; and GEF Coping with Drought and Climate Change.

#### **4.1.6 Management arrangement**

In this subsection, the management arrangement foreseen during the project formulation are described. The actual arrangement during implementation are dealt under subsection 4.2.4. The project is implemented using the National Execution (NEX) modality. The project is executed by the Environmental Protection Authority, jointly with Ministry of Finance and Economic Development. Implementation oversight was by UNDP Climate Change, Environment and DRM Unit in collaboration WFP and UNICEF. The EPA (as Secretariat to the Environment Council and the proposed cross-sector Technical Working Group) houses the project management team, whilst responsibility for overall strategic and medium term expenditure planning, and development cooperation lies with Ministry of Finance and Economic Development. The EPA and MoFED are key partners in day-to-day project management. The other partner Ministries are responsible for specific outputs realization and execution. The EPA, UNICEF, WFP and UNDP are bound through a joint agreement. The project is funded by GOJ through UNDP, which is accountable to the GOJ for project delivery. UNDP has overall responsibility for supervision, project development, guiding project activities through technical backstopping and logistical support.



Project activities are implemented at the national and local/site levels. The Project management team is responsible for overall coordination of project activities, in particular, it coordinates national activities that are largely linked to policy and systemic and institutional capacities for managing dynamic, long term planning mechanisms to manage inherent uncertainties of climate change that are developed as part of the national climate change strategy action plan. The PMT is headed by a National Project Manager who is a seconded representative from EPA. It is also responsible for coordination and mainstreaming of lessons and experiences into government operations and has

oversight and supervisory role for all project activities implemented by government or by the other sister UN agencies.

UNICEF and WFP are responsible for coordinating the execution of all local level activities, as the technical partners and assume accountability for financial management in respect of the activities.

EPA, UNICEF, and WFP signed a Letter of Agreement (LOA). The LOA detailed the funds flow from UNDP to EPA through MoFED for government managed component in accordance to the UN Agencies execution modalities which provides for an approved work plan and disbursement schedule agreed on and included in the PRODOC. This details the resources and their movement/disbursement schedules.

The Project is guided and overseen by the Project Steering Committee (PSC), the highest decision making organ of the project. The PSC is housed within MoFED. The PSC is chaired by the Director of Multilateral Projects and is responsible for supervising project development, guiding project activities through technical backstopping and for contracting Short Term Expertise and PMU staff where necessary. UNDP co-chairs the PSC. The PSC members meet at least once in a year to discuss project progress and approve annual workplans. PSC comprises MoFED, EPA, UNDP, UNICEF, WFP, Ministry of Agriculture, Ministry of Energy, NMSA, Ministry of Water and Energy. The National Project Manager (NPM) Officer is an ex officio member of PSC responsible for taking minutes.

The PMT is located within the EPA and is responsible for day-to-day oversight and coordination of implementation of project activities including supervision of activities contacted to consultants by Government. The NPM heading the PMT reports to the DDG of EPA and maintains liaison with UNDP. The NPM is assisted by a technical team comprising one long-term national and one long-term international full time consultant that support implementation for the project management team. One fulltime national local planning specialist will also be required for 1 year (month 7 to month 18) to support Woreda environmental planning. 40 months of national short-term and 13 months of international short term expertise will be necessary to support project implementation.

The NPM liaises directly with UNICEF, WFP and UNDP and receives reports and feedback from the sister agencies in order to prepare one project progress and financial report to the board and the donor. The NPM manages activities of the PMT and ensures collaboration between institutions and other stakeholders involved in the implementation of the project. He/she is responsible for the preparation and presentation of reports to PSC and UNDP on a regular basis (including APR, Inception Report,

PIR, Quarterly Reports and Terminal Report). These reports will bring on board other participating and collaborating agencies reports to the PSC meetings.

The MoFED, UNICEF and WFP provide UNDP Country Office with certified periodic financial statements together with annual audits of the financial statements in accordance with the procedures set out in the Programming and Finance Manual. The audit is conducted by the legally recognized auditors of their respective agencies and or by commercial auditors engaged by UNDP.

There are budget reviews and mandatory budget re-phasing as required and when necessary through UNDP who maintains ATLAS budget on behalf of other agencies. Funds are sourced from the UNDP headquarters and directly sent to the headquarters of UNICEF and WFP based on an approved work plan and a progress report (technical and financial) at the country level and presented to PSC. All work plans are approved by PSC and reporting modalities follow UNDP procedures and rules of programming as stipulated in the Results Management Guidelines (RMG).

A comprehensive monitoring and evaluation plan are implemented to monitor performance, process, objective and outcome achievement and environmental and socio-economic impacts. The monitoring and evaluation are conducted in accordance with UNDP procedures using Log frame indicators and means of verification as benchmarks. The monitoring and evaluation process rely heavily on active involvement of all project partners and collaborators.

#### **4.1.7 Indicators**

In the Project Document, there are five main outputs, and a sixth output has been added during the last year of the project implementation. Under each output, there are more than one output targets with corresponding output indicators. Each output target has specific Activity Results, with a number of Actions that were identified to produce specific output targets. Each action was expected to produce one particular project accomplishment. Over 40 indicators have been identified in the Project Document. However, as mentioned earlier, the project lacks indicators at outcome and objective level.

#### **4.1.8 General strengths and weaknesses of project formulation**

##### **Strengths**

- Designed to engage multi-stakeholder (sectors / institutions) implementation team
- Focused on paving ways for long-term strategic and policy issues
- Targeted on human capacity development, and bringing changes of attitudes at all levels from the top policy makers down to grass root community members
- Taken schools as centres for dissemination of knowledge and good practices to adapt to climate change



## **Weaknesses**

- Top-down project design
- Inadequate consultation to clearly define roles and responsibilities of key stakeholders
- Poor participation of NGOs and the private sector
- Poor coordination and communication arrangement
- Overall coordination from remote (regional programme)
- Short project implementation period
- Long chain of financial transaction channels
- Program outputs and activities are not clear and often times ambiguous

## **4.2 Project Implementation**

### **4.2.1 Delivery**

The project was implemented according to the National Execution (NEX) modality. Under this approach, the project was implemented by the Environmental protection authority, UNDP CO, UNICEF and WFP. As the responsible body, EPA designated a project coordinator and established a project management unit. UNDP designated a Program Officer who worked closely with the National Project Coordinator and other partners involved. This arrangement gave EPA ownership of the project. EPA assumed overall responsibility and accountability for the effective implementation and coordination of the project. The other partner Ministries are responsible for specific outputs realization and execution.

Within the first two months of the project, an initial 6-month baseline study should have been commissioned so that information on climate change costs and actions can be rapidly generated and used as a basis for wider cross-sectorial engagement on adaptation action.

Within the first 6 months a number of the first-step activities need to be undertaken: Establishment of Technical Working Group, M&E systems, communication strategy, a gender mainstreaming plan, knowledge management system too. Delivery of most expected outputs was delayed until mid-term review. However, delivery of the UNICEF component (output 5) was on target throughout. Implementation of the recommendations of the MTR has speeded up delivery of outputs/ targets.

### **4.2.2 Financial management**

According to the key stakeholders of the project, the financial management was the major challenge of the AAP project implementation. The AAP-IRTSC mission report of June 2011 also indicated the

key problems related to financial management. Inter-Agency transactions were difficult due to complicated project funding arrangements. . If we take the case of WFP as example, WFP requests UNDP (headquartered in New York) to transfer money to the WFP headquarter in Rome. The money then goes from WFP HQ to WFP Office in Addis and then to the EPA. Transfer from UNDP-to-WFP-Ethiopia may take 3 – 4 months to achieve. Then, once the money reaches Ethiopia, it takes several weeks to pass through the banking system, before it reaches the EPA account – by when the funds is considered “aged”, flashing red lights on the dashboard of UNDP. Because, UNDP requires disbursement, use and reporting within the space of six months or else the funds would be referred to as aged under the ATLAS system. The financial management improved after the MTR, implementing the recommendations on disbursement schedules.

#### **4.2.3 Monitoring and evaluation**

The project expenditures are controlled under UNDP financial system ATLAS, and monitoring and evaluations were made in accordance with the programming policies and procedures outlined in the UNDP User Guide. Within the annual cycle, quarterly Project Progress Reports (PPR) was made regularly by the implementing partners. Besides, Project Lessons Learned logs were activated and regularly updated. *Annual Review Reports* were prepared regularly, and consisted of the Atlas standard format for the Quarterly Progress Report (QPR) covering the whole year. *Annual Project Reviews* were conducted, based on the Annual Review Report, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. Accordingly, the AWP was revised three times during the implementation period.

**Mid-Term Review** (MTR) was not made in the last quarter of 2011 like the other AAP implementing countries, due to decisions at regional level. The MTR was conducted later, after the first quarter of 2012 at the request of the Country Director of UNDP. The review was instrumental in re-planning the project and re-starting with a new spirit. There were no major change in the project design, however, as a result of the MTR, annual program was revised at outputs and actions levels. The MTR findings grouped Ethiopia as low risk category in 2012 on the assumption that the country will deliver the required results. It provided strategic overview, outlined challenges and achievements and identified strategic areas for enhancement.

The mid-term review included a number of recommendations to address the shortcomings before finalization. From the outset, a Technical Team chaired by EPA should have been established to ensure lead role and clear definition, as well as consensus on outputs to minimize delays. Lack of conceptual clarity in defining outcomes and the corresponding outputs posed a challenge in establishing the parameters for developing the strategy in these areas, which in turn contributed to

delays. Delay in the selection of best practices from Adaptation projects, particularly as most of these projects are at too early a stage to be considered ‘best practice’. Delay in decision-making on how to initiate the knowledge sharing platform at EPA has hindered project progress. As a result of the mid-term review, the need for strengthening the SC, PMU, PMC and full engagement of the PMU to accomplish the remaining tasks was emphasized and has been applied during the rest of the implementation period.

#### **4.2.4 Implementation Modalities**

The project has been implemented mostly according to its plan, design and management arrangements, with some slight changes after the inception workshop. The changes from the original design include chairmanship of the Project Steering Committee (STC) and levels of engagement by different key stakeholders.

As the Steering Committee Members are selected from key stakeholders, their active involvement in guiding the project activities has been proved important despite the lack of serious follow-up during the first year of the project where significant delay in project achievement is recorded. Exclusion of the donor Japan embassy from PSC and any project progress has been realized late in the project implementation. The National Project Manager (NPM) is a member of PSC responsible for taking minutes. Before the midterm review the frequency of meeting of the PSC was once a year, which has contributed to the delay of performance both in terms of finance and physical outputs. Project steering committee meeting was scheduled to be twice a year but after MTR, the frequency increased for better achievement.

The Project management team (PMT) was responsible for overall coordination of project activities, in particular, coordination national activities linked to policy and systemic and institutional capacities for managing dynamic, long term planning mechanisms to manage inherent uncertainties of climate change. The PMT was headed by a full-time National Project Manager from EPA. Initially, however, the project office was run by a designated coordinator and staff members who were engaged in other additional duties. Thus the person assigned to be the AAP project co-ordinator also has a number of other responsibilities within his job in EPA. After the midterm review in April 2012, a dedicated full time project manager was assigned. This has improved the performance of the project.

Line ministries do not seem to be involved in the planning as well as the execution of the programme, except participation as PSC members. It appears to be an EPA led and implemented project, with little participation of key ministries and other relevant government agency stakeholders. Most of them did not receive financial resources to accomplish their responsibilities indicated in the Results and

Resources Framework, except benefiting from capacity building trainings. Agencies like WFP feel that their roles are taken over by EPA. From the discussions with key informants met during the final evaluation at different ministries, most were not aware of the revised annual work plan leading up to the end of 2012. Since EPA is the executing agency, chair of the PSC, coordinator and implementer of the project with participation of almost all the directorates, there was limited coordination and communication with other project partners. This can be due to delay in the start up, and short project duration, and an effort to make up for the delay in delivery. The following table summarizes the planned and observed implementation roles of key stakeholders.

OUTPUT	Responsible Institutions	Observation of the evaluation Team
OUTPUT 1	MoFED; NMSA; UNDP; WFP; EPA; EC; UNICEF; Regional bureaus and Research Institutions	EPA, UNDP
OUTPUT 2	EC; EPA; UNDP; Training Institutions; UNICEF; TWGs	EPA, UNDP, UNICEF
OUTPUT 3	MoA; EPA; NMSA; Energy; Water; MoE; WFP; UNICEF and Woreda a.m.	EPA, UNDP; WFP; Worde Administrations; UNICEF
OUTPUT 4	MoFED; EC; TWGs; UNDP	EPA; MoFED; UNDP
OUTPUT 5	EPA; UNICEF; NMSA; Regional Bureaus; EC; TWGs; Research Institutions; WFP and UNDP	EPA; MoE; UNDP; UNICEF; Regional Bureaus
OUTPUT 5	EPA, UNDP	EPA; UNDP
OUTPUT 6	EPA; UNDP	EPA; UNDP

Although there were delays in delivery until MTR, the project has delivered the major outputs. The concerted efforts after the MTR and engagement of nearly all directorates of EPA have contributed to the success in making up the delays. Some stakeholders, however, are of the opinion that post MTR implementation focused on fund disbursement than substantive delivery.

#### **4.2.5 Coordination with WFP, UNICEF and UNDP**

As project executing agency, EPA is responsible for coordination as well as oversight and supervisory role for all project activities implemented stakeholders. UNICEF and WFP are responsible for coordinating the execution of all local level activities as the technical partners and assume accountability for financial management in respect of their activities.

According to the project design, the National Project Manager (NPM) is supposed to liaise directly with UNICEF, WFP and UNDP, receives reports and feedback, and prepare one project progress and financial report to the board and the donor. The coordination with UNDP and WFP was in line with the original plan. EPA received funds directly from UNDP and via WFP, and reported regularly to UNDP. The coordination with WFP was smooth but not satisfactory. The WFP would like to have a better control over the finance for which they are accountable. In practice, they were mainly channelling the money to EPA. Besides, WFP has not received any substantive report from EPA until the time the evaluation team talked to WFP personnel.

With regard to UNICEF, the signed Letter of Agreement (LOA) content is slightly different from the intention of the design document. According to the LOA, UNICEF receives money directly from UNDP, without EPA's involvement. Besides, UNICEF is only required to report to UNDP. This has loosened the coordination with UNICEF. UNICEF was also working closely with ministries of education, health and water and energy. After the MTR, it was agreed that UNICEF copy all the reports to EPA as well, and work closely with EPA with regard to the knowledge management part, since EPA is supposed to take over the knowledge management platform.

#### **4.2.6 Coordination with other partners and operational issues**

The coordination with federal government partners did not meet expectations of the stakeholders, since they were not involved in the execution of activities directly. However, most federal ministries (14 of them) were represented in the PSC, and TWGs were formed within all key implementing partner institutions. It appears that there was close coordination with regional states. There was high involvement of local government organs in implementation of demonstration projects in close collaboration with EPA and UN agencies.

The frequency of the meetings of the PSC was not adequate, especially during the first two years of the project implementation. The follow up and support given to the TWGs within the different sectors and regional states was also not adequate. Hence, most key informant from the sector ministries to whom the evaluation team talked were not aware of the achievements of the project outputs that even directly related to their sectors. Even though the arrangements made to coordinate were innovative, the works of the project were not adequately communicated from the EPA side. For instance, a lot of adaptation technologies were implemented at selected districts (woredas) throughout the country, including rehabilitation of degraded areas, irrigation, renewable energy and sustainable land management. But, the relevant ministries were not formally informed about these activities.

Informing the relevant agencies would make scaling up and dissemination of these technologies at broader scale easier.

### **4.3 Results**

#### **4.3.1 Attainment of Objective/Goal**

Though the project implementation was delayed at the beginning, the overall results are quite impressive. Through the project intervention, it was possible to initiate climate change discussions at all levels, and integrated climate change management into national and local development planning. Climate change issues have been integrated into the current medium-term development plan, the Growth and Transformation Plan (2011-2015) and the long-term strategy, Climate Resilient Green Economy (CRGE) strategy. The country has also designed a centralized funding mechanism for climate change adaptation and mitigation, through establishment of CRGE Facility. Different sectors and regional states have developed their own climate change adaptation plans, and have created climate change units or TWGs within their structure. Hence, it can be concluded that AAP has successfully achieved its targets.

#### **4.3.2 Attainment of Outputs**

The project is composed of six outputs and associated activity results, which contribute towards achieving the project objective. Achievements of the project towards output targets are presented in this section.

**Output 1:** Dynamic, long term planning mechanisms to manage the inherent uncertainties of climate change introduced

##### **Output targets:**

The targets set as outputs include the execution of a Baseline Study of Climate Change that incorporates assessment of likely future adaptation costs and resource requirements to inform PASDEP II. Also set was the preparation of Long-term climate change sector plans by Water, Agriculture and Environment line Ministries in order to incorporate into national development planning processes.

##### **Achievements:**

Ethiopia like other African countries is missing effective institutional frameworks to support the short and long-term management of climate change risks and opportunities in an integrated manner. The ability to adopt holistic planning approaches is provided to sector ministries.

Before AAP was in place, PASDEP I has little emphasis on climate change, and there was no national climate change strategy in place. Despite the existence of local level planning mechanisms, adaptation was not integrated. Through AAP, baseline studies on climate change vulnerability, adaptation capacity and adaptation options and indicative costs are carried out at regional and sectoral levels in order to prepare CCA plans for 8 sector ministries, these are approved and are planned to be integrated in the national framework. This was possible because of the continuous capacity building given to decision makers and experts at sectorial and regional levels. These are hopes to influence development decisions.

As a long-term strategy, Ethiopia has also formulated its Climate Resilient Green Economy (CRGE) Strategy. The AAP project has contributed to CRGE formulation through continuous capacity building and consultation processes at different levels. Consultation of CRGE at regional and sectoral level was possible because of AAP. It has assisted to finalize the consultation and finalization of the strategy. Baseline studies on climate change impacts, and its response measures and the resources and capacity needed for sectors has been assessed in order to develop Ethiopian Plan of Action to Adapt to Climate Change (EPACC).

#### **Output targets:**

- Guidelines to mainstream CC adaptation in different sectors developed
- Amended national development policies and plans to address climate change adaptation

#### **Achievements**

As a result of the guideline prepared and training given, climate change mainstreaming activities are initiated in Sector Ministries and Regional states. Technical working groups have been established at sectoral and regional states levels, and have developed climate change adaptation plans. However, some key informants from sector ministries have the feeling that the initiative goes beyond preparation documents and implement the plans that they have formulated. Enhancement of sectoral ministries to plan and budget for the integration of climate change adaptation aspects into their development plans through training is not output by itself unless complemented by project planning and implementation.

#### **Output 2 Leadership and Institutional Frameworks to manage climate change risks and opportunities in an integrated manner at the local and national levels built**

**Output targets:**

- Technical working groups established and advice to EC initiated
- Agreement reached in EC to mainstream adaptation through integrated action
- Policy position papers prepared by EC to advice country leadership on International climate change negotiations
- Local leadership in selected woredas understand climate change and the risks and opportunities it brings to local development

**Achievements**

The achievements of the project under this output are commendable. It was possible to establish technical working groups (TWG) within 12 sectoral institutions and at 9 Regions and 2 city administrations. Green Growth Investment Plan for 9 regional states and 2 city administrations were also prepared. Besides, members of the parliament have been sensitized and initiated to play their role in climate change Adaptation. On top of other Workshops, the following are the sensitization programs conducted at parliamentarians level: Awareness on Climate Change; Mainstreaming Climate Change in Development Programmes; Climate Change, Environmental Issues and Ethiopia's Negotiation Position; Climate Resilient and Building Green Economy; Climate Resilient Green Economy; and Green Economy Strategy and Vision of Ethiopia.

The parliamentarians have started mainstreaming of CC during formulation of proclamations and regulations at National Policy formulation level, which is a remarkable achievement. Currently the parliamentarians, through the different standing Committees, are following up/monitoring the mainstreaming of climate change into their respective sector responsibilities.

The sectors/regional states are well aware on the need for adaptation and mainstreaming activities are being carried out in sectors. The establishment the TWGs was also instrumental in formulation and mainstreaming of adaptation plans and ensuring future actions in the different sectors and regional states. However, the contacted TWG members/ key informants from the different sectors would like to see continue support in building their technical capacity and soliciting finance for implementation of the plans. The TWGs in seven sectors have evolved to the TWGs in the 7 CRGE pillar sectors, and leading integration of the CRGE strategies in their sectors.

At woreda level leadership capacity and action on climate change adaptation was carried out. Besides, 16 green technologies were identified; the prioritized technologies have been implemented at 45



demonstration project sites at local level in order to sensitize the local leadership and community on CC Adaptation. These demonstration projects have given policy direction on adaptation at local level by feeding into Regional and Sectorial Adaptation programmes. The government has plans to implement various adaptation technologies in 160 woredas by 2017 and all woredas in the country by 2025. For the demonstration project implementation to date, AAP provided material inputs. However, it lacked provision of technical capacity building component to adopt the technologies and transfer skills to the local partners, which can be a challenge for scaling up and attaining the expected outcomes.

On the other hand, the capacities of Federal EPA and Regional EPAs have been built by engaging their experts in CC workshop and seminars. Its administrative capacity is also built fulfilling office equipments and furniture. At broader scale, over 300 parliamentarians, the heads of eleven regional environment bureaus and 13 department heads from sector ministries have participated in the sensitization program on CC risks and opportunities. About 46 experts and middle level decision makers from 9 sectorial institution participated in the Leadership Results Program (LRP) training in three rounds that can help in implementing the initiatives of AAP after its completion. LRP training helped leaders from key institutions to better equip themselves respond to climatic threats. The LRP is a transformational program focusing on developing multi-stakeholders leadership that is effective in responding to the immediate and long-term challenges of climate change impacts.

Parliamentarians are now mainstreaming climate change into national policies. They have also started to monitor climate change actions that are part of the national and/or district development plans.

The project also provided trainings on Climate Action Intelligence (CAI) to 20 participants from different organizations including EPA and UNDP. The CAI training introduced the application of business intelligence methods and tools to map “who is doing what, where and when” and to improve institutional arrangements for managing and implementing climate change priorities in Ethiopia. The tools, insights and knowledge provided by the training were very helpful to map climate change actors, as well as understand any sociosphere in an easy and organized manner. Use of such registry is hoped to contribute to the realization of CRGE strategy. Moreover, assessment and design proposal for establishment and maintenance a climate action intelligence and National Registry System for Ethiopia has been developed.

### **Outcome 3: Climate resilient, evidence based Policies and measures implemented in priority sectors**

#### **Output targets:**

- Results based monitoring and evaluation system implemented
- Action learning for integrated policy measures established in a maximum of 50 woredas in line with the national strategies
- Process for linking CCA programs results to development planning in priority sectors agreed with MoFED
- Two project learning cycles completed by year 2
- Evidence from projects generated, analyzed and presented to TWGs by end of 2011
- Evidence from evaluation of action learning projects used to finalize CCA strategy by the end of project period

#### **Achievements**

Most of the targets under this output have been successfully achieved, with some achievements even excelling the targets.

Climate change adaptation regional information toolkits for local adaptation and planning purposes have been complete. The implementation of demonstration projects of good practices and green technologies have been documented and disseminated in the form of a booklet and documentary films produced. The documentary films have been aired on the Ethiopian Television February 2013. This system has also showed that CC adaptation can be effective if the effort is supported and result is awarded. In connection with this, a Mechanism to Motivate, Support and Reward Result (mMSRr) has been designed and launched in regional states, engaging both the sectors and regional state agencies. mMSRr has targeted to involve 30% of the woredas in the country by 2022 and build a Climate Resilient Green Economy with 0 net carbon emission. The other 70% woredas are targeted to be covered by mMSRr to the 2025.

Based on the lessons from implemented demonstration projects, prioritized green technologies have been scaled up in 97 woredas, excelling the target of 50 woredas. The development planning at national level has incorporated CC by the coordinating agency, MoFED, during the preparation of the current medium-term development plan, the GTP. The evidences obtained in implementing demo

projects have also enriched adaptation programmes of the regional states and sectors, and EPACC through iterative processes.

#### **Output 4: Financing options to meet national adaptation costs expanded at the local, national, sub-national and regional levels**

##### **Output targets:**

- Initial assessment of CC costs on key development sectors by end of year 1
- Guidelines and procedures established for accessing international climate change funding mechanisms prepared
- Regulatory options on the establishment of national environmental financial mechanism prepared and presented to EC on year 3
- A set of options for meeting adaptation costs agreed and implementation plans prepared by MoFED

##### **Achievements**

Financial and economic mechanisms to ensure the on-going flow of benefits, estimation of implementation costs of adaptation plan were done as a result of AAP. Action has been taken to assess climate change costs, and socio-economic impacts of climate change have been evaluated. Also action is taken to establish new financing options. A climate resilient investment plan that identified key climate change adaptation options and costs has been prepared.

AAP built capacities to design and implement financing options. Sectorial offices and regional bureaus have worked toward the estimation of costs of implementation plans. Financing options have been realigned from past practices to meet national adaptation costs and complement resources emerging through donor and other assistance program. Through continuous support AAP and sensitization process at different levels, the importance of dynamic financing mechanism to CC has been well understood and taken up. This led to the establishment of the Ethiopian CRGE Facility as a financing mechanism to CC. The CRGE Facility is a model Multi Donor Trust Fund and will allow for the mobilization and channelling of domestic and international climate finance. MofED is hosting of the facility and UNDP will continue working on developing national capacity and supporting resource mobilization. The regional states have also started to allocate 2% of their budget for environment, which is a new development attributable to AAP.

## **Outcome 5: Knowledge Management**

### **Output targets:-**

- Communication strategy produced by end of month 6
- Knowledge management systems in place by end of year 1
- Information generated shared with relevant stakeholders through appropriate for in Year2
- In-depth case studies from action learning sites completed results fed into knowledge base and disseminated
- Set of best practices prepared and disseminated for adaptation approach

### **Achievement**

The project has made impressive achievements in delivering this output. General knowledge products such as information booklets, environmental education manual, fact sheets and brochures, quarterly newsletters, posters and climate change adaptation toolkits were produced. A documentary video on environmental education and protection was also produced. Best practices and knowledge management system used to encourage knowledge sharing and dissemination of results through networks. Advocacy video showing good school community practices and a nation wide web based platform linked with EPA for documenting good practices and information sharing on cc developed. A gender sensitive climate change knowledge management and communication strategy has been developed.

Teachers have been trained to develop environmental club action plans. Around 12 schools identified as disadvantaged have been provided with appropriate water pumps, of which 2 have been installed. The procurement of installation services for the remaining 10 has been finalized during the time this evaluation was conducted. A mechanism for sharing new information and innovations through Cluster schools has managed to cover 562 schools and 2812 teachers (38% were female). A 10 minutes documentary film was produced on LRP of Ethiopia. The prepared CC Mainstreaming guidelines were used by different sectors to prepare adaptation plans. A 13 minutes video documentary on schools community effort on environmental education and protection prepared.

In order to mainstream systems of sharing good practices and knowledge nationally, AAP has also supported the development strategies and guidelines, including: “Knowledge Management and Communication Strategy for Climate Change Adaptation in Ethiopia” and “Journalist’s Guide to Reporting Climate Change Adaptation Issues in Ethiopia”. Key partners for operationalizing the strategies and guidelines have also been identified.

## **Output 6: Project management and Governance**

### **Output Targets:**

- Effective management of AAP activities.
- Outputs and targets set by AAP achieved

### **Achievements**

This output was added after the MTR of the project in April 2012, which recommended establishment of full-time project management team at EPA. The project management was conducted successfully, by recruiting permanent coordinator and mainstreaming the activities of AAP into the works of different directorates of EPA for sustainability. The project has also recruited Regional Coordinator, though it was only for the last 4 months of the project period. Around five (5) Project Steering Committees meetings were held and decisions of the PSC were executed. The Project regional office has also provided technical supports .

### **4.3.3 Sustainability**

The sustainability of the project outcomes depends on the success of continued implementation and scaling-up of the achievements at national, regional states and local level. In our assessment, there is highly sustainable, because: (1) climate change is already high on the country's development agenda; (2) climate change adaptation and mitigation issues are being mainstreamed in the plans and programs of all sectors and regional states; (3) sensitization and awareness raising activities were successful in reaching and influencing policy makers, experts, the youth and general public; (4) key partner institutions for scaling up and continued implementation were engaged in AAP in one way or another and have developed their own adaptation plans; (5) the capacities of key personals within sectorial ministries and regional states have been built; (6) national strategies to guide continued implementation were put in place; and (7) a dynamic funding mechanism has also been established (CRGE Facility) to mobilize and allocate funds for climate change adaptation and mitigation has been put in place.

There is a strong political commitment at government level, and growing awareness and motivation by key stakeholders. The establishment of Technical Working Groups (TWGs) in 12 key Sector institutions and 11 Regional States will strengthen government institutional structures to enhance climate change issues if supported by other complementary climate change programs running in the country. The establishment of CRGE Technical Team within 9 Sector ministries and presence of Inter-Ministerial Climate Committee in the Prime Minster Office and corresponding technical committees are the indications of leadership and institutional sustainability. For most of the sectorial ministries

and partner UN agencies, the interventions initiated by the AAP are highly complementary with their existing programs, and hence are highly sustainable.

The key challenges for sustainability are funding and capacity of the personnel within implementing organizations. The establishment of CRGE Facility is expected to ease the problems of funding, since it has already started to attract the interests of many donor agencies. The Facility should also create systems to solicit fund from local source, introducing “**Green Taxes**”. Staff turn-over and lack of adequate personnel with skills for “green jobs” can be challenging for implementation at broader scale, and need continued support through trainings and motivations. The planned mechanism to Motivate, Support and Reward result (mMSRr) seems to be a promising way to scale-up and sustain climate change related development interventions.

#### **4.3.4 Replicability**

AAP has initiated the culture of collaboration among different stakeholders. It has also helped in institutionalizing the issues of climate change nationwide. The good practices from AAP demonstration project initiatives are replicable; i.e., the adaptation technologies identified, tested and documented for scaling-up are simple and cheap to replicate through community engagement. Around 16 technologies have been prioritized and implemented at 45 demo sites, and scaled up to 97 woredas during the project period already. The policy framework and high level leaders support are conducive. Knowledge sharing mechanisms are in place to disseminate lessons learnt from good practices. With adequate finance and continued trainings on “green” skills and technologies, the interventions initiated through AAP are generally replicable.

## **5 Lessons Learned**

The project has passed through different phases, from the inception period to completion of implementation of activities. In this section, overall lessons learned from implementation of AAP in Ethiopia are discussed to improve planning, implementation and follow-up of similar projects in the future. The lessons learnt are grouped under different themes and presented hereunder.

### **Project Design and Inception:**

- Design of a project to be implemented by multiple stakeholders needs thorough consultation and crafting of appropriate coordination and management arrangement. In Ethiopian AAP the major challenge related to the inception phase was that, the design of the project was in such a way that there are multiple implementing Agencies (WFP, UNDP and UNICEF) but with weak coordination mechanism. In the Project Document it is clearly stated that EPA works as

Coordinating Agency of AAP-Ethiopia; but the Letters of Agreement (LOA) signed between two implementing agencies other than the coordinating agency weakened the role and position of the coordinating Agency, for example coordination with UNICEF.

- Leadership roles for implementation of different components should be based on a comparative advantage or past experience of the selected implementing partner. In the case of AAP Ethiopia, for example, UNICEF has no comparative advantage on knowledge management & climate change and was challenged in implementing it at early stage. UNDP has better experience, and even an independent office on KM. Success of this component was achieved through good collaboration with UNDP

### **Project Management:**

- It is important to establish full-time project/program management team from the beginning. In the case of AAP Ethiopia, the project office was initially run by designated office Head and staff who also have other additional assignment to carry out. A dedicated full time project manager was recruited after a recommendation made by AAP Regional Project Office in April 2012. This has improved the performance of the project.
- Engaging many departments and institutions for such project is important. To ensure effective project management, EPA established a system of involving relevant departments and other key stakeholders in the implementation process, which helped to speed up implementation.
- Lack of access to ATLAS was also a bottleneck for close follow-up and tracking financial position (financial information) to efficiently utilize the fund.

### **Stakeholders Engagement:**

- Maximum engagement of the relevant stakeholders at project design and implementation phases is important for success. It is also important to communicate project interventions for transparency and possible take up of the lesson learnt by other stakeholders...
- Representation of the key stakeholders in the Project Steering Committee can guide the project activities, while enhancing wider engagement of the relevant stakeholders.
- The role of donors and ways of their engagement has to be clearly stated in the project document. In the case of AAP Ethiopia, the role of the Japanese Embassy was not clearly seen in the project document, which led lack of proper follow up from the Embassy.
- The clearly defined roles and responsibilities of stakeholders, along with allocation of adequate resources/funds should be in place from the project inception. Otherwise, the commitment can diminish over time.

## **Leadership and Institutions**

- Creating leadership in climate change is a key to mainstream the issue. In this regard, the establishment of Technical Working Groups, sensitization and awareness raising for parliamentarians and leaders of key sector personnel's was vital for the success of AAP Ethiopia activities.
- Leadership for Result Programme (LRP) was important to create champions of climate change at sectorial level. This intervention to some degree has solved the expertise gap in climate change in key sectorial institutions. LRP has also taught the participants how to prepare breakthrough projects that can solve critical problems of their respective institutions.
- Specialized trainings like Climate Action Intelligence (CAI) created the understanding of the need for registry that allows mapping "who is doing what, where and when" and improve institutional arrangements for managing and implementing climate change priorities.

## **Evidence-based policy making**

- Consultation of relevant stakeholders is an important tool to generate useful information for evidence based policy making; AAP helped to tackle policy gap by providing enough information to decision makers;
- Implementation adaptation technologies at demonstration project site allowed better understanding practical approaches of tackle the impacts of climate change on human and the natural environment;
- Lack of enough information in the formulation of policy has been tackled by generating proven information through implementing action learning projects
- Consultations on different created the need integrate climate change in planning and budget allocation at federal and regional states levels.
- Field visit, workshops, implementing demonstration projects, community adaptation practice are powerful tools to generate climate information;

## **INFORMED DECISION MAKING**

- Climate related data generation is an important tool for informed decision making.
- Consultation at different level is also a powerful tool for climate information generation.
- Climate information is an important tool to change the attitude of decision makers.



## 6 Conclusions and Recommendations

### 6.1 Conclusions

- The concept of the design project with multiple implementing agencies and stakeholders is highly innovative and appropriate to deal with complex issues like climate change. But, consultations with key stakeholders were not thorough enough to clearly define their roles and responsibilities, which led to delays in starting project implementation. The project implementation period was also too short for such a project with multiple outputs activities.
- Climate change issues were only dealt with ad hoc committees in the past. The AAP has contributed to development of national strategies and integration of the issues into national and local development plans.
- AAP has also initiated cooperation between various stakeholders, consolidated fragmented efforts and generated adaptation technologies in short time.
- The AAP was very instrumental in sensitization, awareness raising and compilation of good practices on climate change adaptation for wider dissemination.
- The project has enhanced the capacity of many stakeholders through several trainings workshops and seminars on climate change adaptation and mainstreaming into development plans.
- The strong focus given to demonstration projects and scaling up efforts in the implementation of Ethiopian AAP project is highly commendable. However, the level of engagement by relevant sectorial ministries for the demonstrated adaptation projects was not adequate for smooth takeover and dissemination of the technologies in the future. Besides, the project focused on material supply only, with little attention to building capacities of communities and development agents to adopt and operationalize the technologies.
- Delivery of the project outputs was outstanding. However, it was not well communicated to stakeholders to increase impact.

### 6.2 Recommendations

Based on the lessons learned from AAP project implementation in Ethiopia, the following recommendations are forwarded for similar project innervations in the future:

- The project design should be home-born, bottom-up and participatory in which the roles and responsibilities of key stakeholders and well defines, with proportional resources distribution.
- The coordinating agency should strong mandate to supervise the works of all implementing partners. Such agency should also have strong capacity to communicate with all stakeholders, including the public and hence have communication/outreach specialist as project management team member.

- Financial transactions from UNDP should directly go to each implementing agency/ partner directly, to shorten the transaction chains and time, so that activities are implemented in time.
- Documentation of “lessons learned” from completed works should guide future program design, delivery and management processes.
- Emphasis should be given to continuously build capacities and provide technical support to key federal and regional sector institutions that implement adaptation technologies.
- Due attention should also be given to climate change related knowledge management, i.e., consolidating, storing and making knowledge products available to facilitate future learning and capacity development.
- Follow-up of trainings like LRP and CAI with implementation activities or adequate intents of such capacity works should clearly demonstrate to the beneficiaries, since some misunderstandings were observed by the evaluation team.
- Support development of fundable investment plans to operationalize the sectorial and regional adaptation plans, as a follow-up of AAP project.
- Develop mechanisms for fund mobilization from local sources through “green tax” and other appropriate mechanisms.
- Develop flexible operational modalities for the CRGE strategy to attract more funds from all potential donors and disburse the funds to projects with high social, economic and environmental benefits.

## Annexes

### Annex 1- Evaluation ToRs, itinerary and list of persons interviewed

#### Terms of Reference for Final Evaluation

#### Africa Adaptation Programme (AAP)

#### PROJECT SUMMARY

<b>Project Title:</b>	Africa Adaptation Programme (AAP)
<b>Country:</b>	<i>Ethiopia</i>
<b>Duration:</b>	15 working days (from January 22- February 7/2013)

#### 1. INTRODUCTION

With funding of \$92.1 million from the Government of Japan, UNDP launched the programme, “**Supporting Integrated and Comprehensive Approaches to Climate Change Adaptation in Africa** (hereafter called the Africa Adaptation Programme or AAP)” in partnership with the United Nations Industrial Development Organisation (UNIDO), the United Nations Children’s Fund (UNICEF) and the World Food Programme (WFP). The AAP assists 20 countries across the African continent in incorporating climate change risks and opportunities into national development processes to secure development gains under a changing climate. The Programme helps countries establish an enabling environment and develop the capacity required at local and national levels to enable them to design, finance, implement, monitor and adjust long-term, integrated and cost-effective adaptation policies and plans that are robust within a wide range of possible changes in climate conditions.

Within the framework of the AAP, *Ethiopia* started AAP Supporting Climate Resilient Sustainable Development In Ethiopia. The African Adaptation Programme (AAP) of Ethiopia has the objective: “to establish an integrated programmatic approach to Ethiopia’s management of climate change risks, vulnerabilities and opportunities”.

The Outputs of the AAP are:

1. Dynamic, long-term planning mechanisms to manage the inherent uncertainties of climate change introduced (Outputs expected of EPA)
2. Leadership capacities and institutional frameworks to manage climate change risks and opportunities in an integrated manner at the local and national levels strengthened
3. Climate-resilient policies and measures implemented in priority sectors implemented
4. Financing options to meet national adaptation costs expanded at the local, national, sub-regional and regional levels
5. Knowledge on adjusting national development processes to fully incorporate climate change risks and opportunities generated and shared across all levels

## 2.

### PURPOSE OF THE FINAL EVALUATION

This final evaluation will produce an evaluation report containing a detailed list of lessons learned. The evaluation report is aimed at critically assessing the stages of the AAP and its products through participatory approaches, measuring to what extent the objective/outputs/activities have been achieved against the results and resources framework, and identifying factors that have hindered or facilitated the success of the project. The lessons learned section is aimed at capturing key lessons to assess what adaptation approaches/measures were effective in various thematic areas (e.g. water, agriculture, health, disaster risk reduction, coastal zone management) at multiple special scales (e.g. national, sub-national, local levels). This part is therefore forward-looking and is aimed at promoting AAP's lessons so that the legacies of the AAP will be replicated and sustained beyond the project lifetime.

## 3. SCOPE OF THE EVALUATION

AAP *Ethiopia* will be evaluated using the following criteria: relevance, effectiveness, efficiency, timeliness, and sustainability. The final evaluation will focus on the following aspects: A) project objective/outputs; B) processes; C) sustainability of results; D) monitoring and evaluation; and E) conclusions and lessons learned. For each aspect, a wide array of factors will be considered, including but not limited to:

### A) Project objective/outputs

#### i. *Objective, Output, Activities*

- Effectiveness and efficiency of project activities
- Progress in the achievement of outcomes/outputs, measured against the baselines and indicators set at the outset of the project ( see Annex 1)

### B) Processes

#### i. *Institutional arrangement*

- Formulation and implementation stages
- Consultative processes
- Technical support by global and regional teams during formulation and implementation
- Capacity building initiatives
- Assumptions and risks
- Project related complementary activities

#### ii. *Partnerships*

- Assessment of national level involvement and perception of partners
- Assessment of local partnerships and their involvement
- Assessment of collaboration between government, non-governmental organisations, the private sector, and regional/international organisations

#### iii. *Processes and Administration*

- Project administration procedures
- Milestones (log-frame matrix, RRF)
- Key decisions and outputs
- Project oversight and active engagement by UNDP Country Office and the project board
- Coordination between UNDP Country Office and government executing agency

- Coordination with WFP and UNICEF
- iv. *Disbursements*
  - Overview of actual spending against budget expectations
  - Analyse disbursements to determine if funds have been applied effectively and efficiently
- v. *Budget procedures*
  - Effectiveness of project document to provide adequate guidance on how to allocate the budget
  - Audits and any issues raised in audits and subsequent adjustments to accommodate audit recommendations
  - Review budget revisions and provide an opinion on the appropriateness and relevancy of such revisions
- vi. *Coordination mechanisms*
  - Appropriateness and efficiency of coordinating mechanisms and approaches between implementing partners and oversight bodies
  - Propose improved coordination mechanisms and approaches

### **C) Sustainability of Results**

- Evaluate AAP's strategy to promote the sustainability/replicability of results
- Identify evidence showing that the results/lessons of AAP have been replicated to other regions/countries/communities
- Analyse risks to ensuring sustainability of the project outcomes and results (i.e. country ownership, financial, institutional capacity)

### **D) Monitoring and Evaluation**

- Identify problems/constraints, which impacted on successful delivery of the project identified at the project design stage and subsequently as part of the Mid-Term Review (MTR)
- Identify threats/risks to project success that emerged during implementation and strategies implemented to overcome these threats/risks
- Analyse impact of MTR recommendations
- Assess the Monitoring & Evaluation systems and plans, whether they were well designed, implemented and budgeted, and their contribution to the compulsory quarterly and annual reporting processes at the national and regional levels
- Assess the extent, appropriateness and effectiveness of adaptive management at all levels of the project implementation

### **E) Conclusions, Lessons Learned**

- Assess substantive reports (e.g. risk assessment, progress reports of certain adaptation measures, lessons learned documents)
- Identify key lessons emerging from countries
- Identify effective approaches/measures (by sector and spatial scale)
- Identify elements hindering or promoting success

## **4. EXPECTED OUTPUTS**

The consultants will be expected to produce:

- 1) **An evaluation report.** The report should not be more than 40 pages. It should be structured along the outline indicated in Annex 2. It includes a detailed lessons learned component and a list of all people interviewed in annex.

A draft report should be submitted within 5days after the contract is issued and a final copy within The draft and final evaluations of the products should be submitted to UNDP CO.

## 5. METHODOLOGY/APPROACH OF EVALUATION

As the performance of the Project at the field level being evaluated by the National Consultant recruited by the UNICEF and report produced. This final evaluation will make use of the findings of the consultancy service.

Therefore this consultancy service will undertake the evaluation through the following 2 main steps: 1) review of documentation (home-based); 2) undertake interview and follow-up inquiries by phone/email and develop final products (home-based). The consultants will coordinate closely with project manager and respective UNDP Officer to get necessary documents for home-based desk review and schedule mission appointments.

The final evaluation report should be sent to Ian Rector, AAP Programme Manager ([Ian.rector@undp.org](mailto:Ian.rector@undp.org)) and Jen Stephens, UNDP HQ ([jen.stephens@undp.org](mailto:jen.stephens@undp.org)).

The proposed timeline/tasks are as follows:

The evaluation will be conducted in a participatory manner through a combination of processes. It is anticipated that the methodology to be used for the Final Evaluation will include the following:

### 1) **Review of documentation including but not limited to:**

- Project document
- Quarterly/annual progress reports and workplans of various implementation task teams
- Audit reports
- Mid-Term Review report
- Final project review report, wherever available
- Financial reports
- Mission reports
- Strategy documents
- Guidelines/discussions papers
- Outreach materials
- Minutes of project steering committee meetings
- Monitoring and evaluation framework
- Project Review Report completed by AAP National Project Manager

### 2) **Interviews with stakeholders including, but not limited to:**

- EPA
- Oversight body (UNDP CO and Project Steering Committee members)
- WFP and UNICEF

### 3) **Additional document/information:**

- [UNDP Evaluation Office webpage](#)
- [UNDP Evaluation Policy \(2006\)](#)
- UNDP Evaluation Policy, pending approval by the Executive Board in January 2011
- [Handbook on Planning, Monitoring and Evaluating for Development Results](#)
- [Outcome Evaluation Guidelines](#)
- [Evaluation Resource Centre](#)
- [EvalNet](#) – EvalNet is a knowledge practice network, managed by the Evaluation Office, which aims to promote sharing of experiences, lessons and good practices in evaluation among its members. It has a number of products; including bi-monthly resource packages, consolidated replies and e-discussions. The network is open to external evaluation practitioners on invitation basis.
- [ADR Guidelines](#)
- [United Nations Evaluation Group \(UNEG\) webpage](#)
- [UN Evaluation Group Norms and Standards for Evaluation](#)
- [UNEG Code of Conduct for Evaluators](#)
- [UNEG Ethical Guidelines for Evaluators](#)

The above-referenced documents shall be made available to the evaluators in advance of the missions and, to the extent possible, in electronic format.

## 6. ATTRIBUTES OF THE EVALUATION CONSULTANTS

The consultant should ideally have the following competencies and attributes:

A minimum of Msc in Environmental science, Natural Resource Management or related fields with more than 5 years experience and particularly :

Expertise in:

- Capacity building and strengthening institutions
- Policy framework strengthening/mainstreaming
- Climate change adaptation
- Good knowledge of the UNDP Evaluation Policy;
- Experience applying UNDP Results Based Evaluation Policies and Procedures;
- Good knowledge of the UNDP NIM Guidelines and Procedures;
- Knowledge of Result-Based Management Evaluation methodologies;
- Knowledge of participatory monitoring approaches;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Demonstrable analytical skills;
- Some prior knowledge of the Africa Adaptation Programme and working experience in Africa will be considered an asset.

Competency in the following is required:

- Excellent *English* writing and communication skills
- Demonstrated ability to assess complex situations in order to succinctly and clearly distil critical issues and draw forward looking conclusions
- Excellent facilitation skills

**NB**

**The two consultants will do the consultancy service together and the Lead Consultant in particular will be responsible for:**

- **Responsible for overall coordination of the evaluation process**
- **Be responsible on the submission of the draft evaluation report in time and incorporate comments given by the CO and the EPA;**
- **Responsible for the stake holders engagement**
- **Editing and Finalizing the evaluation report,**

## **7. IMPLEMENTATION ARRANGEMENTS**

The evaluation will be conducted for a period of 2 weeks. The detailed Final Evaluation methodology will be agreed as part of the contract finalisation process by way of virtual communication with relevant UNDP representatives.

The consultants will start the evaluation processes with an inception meeting with relevant the UNDP representative(s). The consultant- They will undertake the review of documentation (home-based), interviews preparation of an evaluation report and a lessons learned document (home-based). They will submit the draft products to UNDP -,CO for comments and finalise the products within 2 weeks.

## **8. GUIDING PRINCIPLES AND VALUES**

The evaluation will be undertaken in-line with the following principles:

- Independence
- Impartiality
- Transparency
- Disclosure
- Ethical
- Partnership
- Competencies and Capacities
- Credibility
- Utility

The consultant must be independent from the delivery and management of development assistance process that is relevant to the Project's context. Therefore, applications will not be considered from those who have had any direct involvement with the design or implementation of the Project. Any previous association with the Project must be disclosed in the application. This applies equally to firms submitting proposals as it does to individual evaluators. If selected, failure to make the above disclosures will be considered just grounds for immediate contract termination, without recompense. In such circumstances, all notes, reports and other documentation produced by the evaluator will be retained by UNDP.

## **Sample Outline of the Final Evaluation Report –**

1. Executive Summary
  - Brief description of project
  - Context and purpose of the evaluation
  - Main conclusions, recommendations
2. Introduction
  - Purpose of the evaluation
  - Key issues addressed
  - Methodology of the evaluation
  - Structure of the evaluation



### 3. The Project and its Development Context

- Project start and its duration
- Challenges that programme sought to address
- Objective and goal of the project
- Main stakeholders
- Results expected

### 4. Findings and Conclusions

#### 4.1 *Project Formulation*

- Formulation processes
- Stakeholder participation
- Replication approach
- Cost effectiveness
- Linkage of the programme and other interventions within the sector
- Indicators

#### 4.2 *Project Implementation*

- Delivery
- Financial management
- Monitoring and evaluation
- Implementation modalities
- Coordination with WFP, UNICEF and UNDP
- Coordination with other partners and operational issues

#### 4.3 *Results*

- Attainment of Objective/Goal
- Attainment of Outputs
- Sustainability
- Replicability

### 5. Lessons Learned

### 6. Conclusions and Recommendations

### 7. Annexes

- Evaluation ToRs, itinerary and list of persons interviewed
- Summary of findings
- Summary of issues raised and recommendations by different stakeholders
- List of documents reviewed
- Questionnaire used and summary of results if any
- Synthesis of stakeholder comments to the draft evaluation report

Itinerary of the evaluation activities

Dates	Tasks to accomplish	Remark
Jan 30-Feb 4	Review of documents	Review of documents will continue side by side with the interview
Feb 5-Feb 8	Key stakeholders Interview: EPA, WFP, UNICEF, UNDP, EC, PARLIAMENT	
Tuesday, Feb 5	EPA	Morning and afternoon
Wednesday, Feb 6	UNDP WFP	Morning Afternoon
Thursday, Feb 7	UNICEF MOARD/EC	Morning Afternoon
Friday, Feb 8	UNDP	Morning
Feb 15	First Draft Report	
Feb 20	Submission of final report	

## ANNEX 2. LIST OF KEY PERSONS MET

Name	Responsibility	Address
Kasu Kebede	Program Officer, WFP	0911339116
Purnima Kashyup	Head of Program, WFP	0911202792
Keton Sankei	Program Officer, WFP	0922122593
Eleni Mamo	Education Specialist, UNICEF	<a href="mailto:emamo@unicef.org">emamo@unicef.org</a>
Sibeso Luswata	Chief Education, UNICEF	<a href="mailto:sluswata@unicef.org">sluswata@unicef.org</a>
Daniel Gelan	WASH project Officer, UNICEF	dgelan@unicef.org
Birhanu Solomon	AAP Project Coordinator, EPA	0911169325
Mitiku Argaw	AAP project Assistant Coordinator, EPA	0911802145
Mohammed Ali	Technology Transfer Directorate, EPA	0911748434
Melaku Tadesse	SLM Directorate, MoA	0911-655976
Ababu Anage	UNDP, Co	ababu.anage@undp.org
Hiwot Lemma	Senior Entomologist, MoA	0911-059130
Belete Geda	Director, Training of EPA	0911-467679
Sertse Sebu	Senior Expert, MoA	0912-734713
Shawel Girma	MoFED Finance Analyst	0913-043212
Beyene Sebeko	Senior Expert	0911-684781
Rahel Asfaw	Senior Expert MoA	0911-318376
Atsede Guta	Advisor, MOWCYA	0911-698964
Nebeyeluel Fantahun	Team Coordinator, MoI	0911-476679

## ANNEX 3. Main documents reviewed

1	African Adaptation Program: Inception Workshop Report
2	AAP Ethiopia Project Supporting Climate Resilient Sustainable Development in Ethiopia Document Final Version
3	Quarterly Progress Report AAP Regional Office 2011, 2012
4	Two Steering Committee Meeting Notes
5	Mid-Term Review Report of Ethiopia 2012
6	Revised AAP Work Plan for Ethiopia for 2010, 2011 and 2012
7	AAP Review Mission Report of June 12-22. 2011
8	AAP Inter-Agency Meeting Note
9	AAP Narrative Description of Physical and Financial Performance Report
10	AAP LRP Workshop Report
11	Interim Report: Ethiopia CRGE Registry
12	Climate Change Adaptation Plan for Ministry of Water Resources and Energy
13	Climate Change Adaptation Plan for Ministry of Mines
14	Climate Change Adaptation Plan for Ministry of Urban Development
15	Ethiopia CRGE Strategy Final Copy
16	LRP Workshop Proceedings

## Checklist of questions used for key informants interview

### **Project objective/outputs**

#### *Objective, Output, Activities*

- Which Objectives/outputs were the focuses of components implemented by your organization?
- How effectiveness was the implementation? Did you adequately accomplish the project objectives? Was it focused on the target/ expected output?
- Were implementations of project activities efficient? Was it timely, and with proportional effort? Which activities were more efficient, and which were not? Why?
- How far have you progressed in the achievement of outcomes/outputs?

### **Processes**

#### *Institutional arrangement*

- What was your institution's role in the project:
  - Formulation?
  - Implementation?
- Was there adequate consultation among project partners?
- Did you get any technical support by global and regional teams during:
  - Formulation?
  - Implementation?
- Were there any capacity building initiatives? Mention the initiative? Comment on relevance and effectiveness?
- Were there project related complementary activities at your institution? How did you avoid redundancy?

#### *Partnerships*

- Who were the national level partners? What was their involvement?
- What is your perception of such partnership? Was it worth?
- Who were the local partners? Regional states/ Woredas? What was their involvement?
- Was there collaboration with:
  - NGOs? Name and kind of collaboration?
  - Private sector? Name and kind of collaboration?
  - Regional/international organisations? Name and kind of collaboration?

#### *Processes and Administration*

- Brief overview of project administration procedures? Who decides what?
- Which key decisions were made during implementation? What were the key outputs?
- How was the project oversight and active engagement by:
  - UNDP Country Office?
  - The project board/ steering committee?
- How was the coordination between UNDP Country Office and EPA?
- Coordination with WFP and UNICEF?
- Where there challenges/ problems? What measures were taken?

#### *Disbursements*

- How was the actual spending as compared to the budget?
- Was disbursement on time?

### *Coordination mechanisms*

- Was the coordination mechanism between implementing partners and oversight bodies appropriate and efficient?
- What do you recommend for improvement?

### **Sustainability of Results**

- Does AAP's strategy promote the sustainability/replicability of results?
- Any evidence that it has been replicated?
- What are the possible risks to ensure sustainability of the project outcomes and results?
  - Country ownership
  - Financial
  - Institutional capacity

### **Monitoring and Evaluation**

- What are the problems/constraints that affected successful delivery of the project?
- Which threats/ risks emerged during implementation?
- If some of MTR recommendations are implemented?
  - Is there fulltime AAP project manager at EPA?
  - AAP team at EPA? And logistics? How many staff?
- How was the cooperation and engagement with AAP team in other countries?
- Could you develop any regional CRGE investment plan? (11 recommended in the MTR?)
- Was there any strategic challenge encountered during the project implementation? When you encountered problems/ challenges, what did you do to overcome?
  - at EPA level?
  - at UNDP level?
  - at Regional states level?
  - at Woredas/ projects level?